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ABSTRACT

There is a crucial need in the field of higher education for a methodology of self-study and self-evaluation of the effective and efficient management of postsecondary institutions that deals with facts as well as perceptions as they relate to institutional management. The Management Systems Inventory (MSI) addresses itself to this need. MSI is a management tool designed to permit an institution to evaluate itself through objective and subjective observations made on the basis of both facts and perception of those facts by various internal and external organizational units and constituencies. MSI bridges the gap between being an audit and a strategy prompting the type of introspection that identifies the various perceptions that act as a catalytic agent for management behavior. It establishes five areas of concentration: institutional mission, goals, and direction; applicability of organizational structure to mission; organizational responsibility; the extent to which feedback and evaluation mechanisms assure that responsibilities are carried out and that desired results are achieved; and appropriateness of fiscal operations for sustaining institutional continuity and direction. (Author/KE)

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MANAGEMENT SYSTEMS

INVENTORY

for

INSTITUTIONS OF HIGHER EDUCATION

Satish B. Parekh
Senior Director

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
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FOREWORD

Musing about the crises in higher education today, one sometimes wonders if too much priority is not given to the concrete, material, qualitative elements which serve to document certain aspects of growth and programs. One of the techniques which is commonplace in modern educational analyses is the process of inventory. Obviously, as an instrument, the inventory can be employed in the accumulation of data which are both qualitative and quantitative.

For the service commitment of the Cooperative College Development Program of the Phelps-Stokes Fund, the acquisition of viable data was crucial. So little careful, serious attention had been given educational institutions for Blacks. Much of the information available has been developed in an unscholarly manner. Even where the documentation has been reliable, it has been superficial, partial, rigidly selective, and produced or interpreted or criticized with little or no reference to and concern for its essential context and cultural milieu. Thus, our decision to create an inventory as a data acquisition instrument was quite deliberate and purposeful.

In the formulation of the Inventory instrument, it is essential to keep in mind the root of the designation - "inventory".

The etymology of the word "invent" is significant here. Among its several possible meanings are "to find", "to come upon", "to discover", "to frame". When used to imply 'discovery', the word was associated in context with study and experimentation. These are precisely the activities for which the instrument serves so admirably. In the administration of the Inventory by a trained CCDP team, the instrument permitted us to discover or come upon much information that was both objectively and subjectively essential and otherwise illusive.

But the most telling, persistent and constant revelation was that "a thing is neither good nor bad but thinking makes it so". In short, no matter what the bare fact, we discovered that what an interviewee thinks to be the fact becomes his fact. No matter how illogical, how prejudiced, how limited his perception or attitude, his attitude becomes a fact which, if ignored, alters every result. As Milton has the lost Archangel say in Book I of Paradise Lost, "The mind is its own place, and in itself can make a Heaven of Hell, a Hell of Heaven". Many administrators, faculty members, trustees, students, alumni and legislators bring to the Inventory exercise, minds "not to be changed by place or time". Until they can be persuaded to discipline their minds to accept and support the mission, goals, and objectives of their institutions as objectively and intellectually evolved for its constructive and purpose-

ful survival, the college will not be at the center of their professional commitments.

The Management Development Program (MDP), administered for three years under the TACTICS thrust, has provided the proving ground for the Inventory as an instrument. The Management Systems Inventory (MSI) has been at times feared, misunderstood and suspected. Where it has been appreciated objectively and applied courageously, the MSI has provided precisely the avenue to concensus which is germane to long range planning and comprehensive management systems. It is our conviction that our institutions must be continually aware of perceptions, interpretations and attitudes which determine the extent to which decisions will be implemented. To ignore or discount the atmosphere in which decisions are carried out is to risk loss of institutional initiatives and direction. The Phelps-Stokes Fund offers this MSI as one vehicle to discovery. Through such discovery, an institution may keep an account of itself through its various constituencies. Such accounts can provide sound foundations for comprehensive management and for long range planning for the survival of developing institutions. The MSI can, however, serve equally well the needs of "developed" institutions who should also know what opinions and attitudes color the activities which are carried out in the implementation of their decisions. Viewed in this context, the Management Systems Inventory

is released as a potential contribution to more effective and efficient institutional development. It is our hope that the successes we have had in the administration of the MSI in sixty-one institutions may be equalled and expanded in a wider spectrum of higher education in the United States and abroad.

Washington, D.C.
April 11, 1975

Marie D. Gadsden
Vice President and
Director, Washington
Bureau

PROLOGUE: SOMETHING HAD TO BE CUSTOM MADE

The commitment was clear, even reasonably clear in the Management Development Program label itself. A wide range of management technical assistance to fulfil that commitment would be delivered through a considerable nucleus of consultant talent. This initial base of talent would be broadened through training of indigenous as well as other consultants. But the problem was essentially this: How is the delivery of management technical assistance to be made meaningful in terms of strengthening management capabilities?

Most institutions at the time were thinking about survival almost exclusively in terms of fund-raising. But it was soon realised that the job of increasing financial support to developing institutions was much bigger than financial development programs. Moreover, resource and program development was increasingly seen as the task and responsibility of general management and sponsorship, and eventually must involve entire collegial setting.

The Management Development Program from the outset was ready to provide technical assistance. But each institution was assumed to be different, not only in terms of management needs and priorities, but also in terms of how each was perceived by people in various functions and levels of management. If this assumption

was valid, on whose judgement then should priority needs for management be based? The question was especially pertinent given the fact that the delivery of technical assistance in some form could begin immediately, if for none other than the important reason of making a track record. In retrospect that would have been the easiest, less costly route, but results would have been questionable.

In spite of various efforts by the Phelps-Stokes Fund, including two management orientation sessions prior to the advent of the Management Development Program, the new program was faced with difficulties of some institutional officials who did not see management as a prime need. On the other hand, the new management language and acronyms fascinated some.

Yet, it was clear even to the casual observer that traditionally Black colleges in the main had not had the advantage of current concepts and techniques of modern management. To some extent, the situation was no different for higher education in general. One major difference, however, exists in the fact that the shortage of professional and technical personnel to get special jobs done on Black college campuses is commonplace. In fact, there is evidence that many of these schools have learned too well how to make "brick without straw". But while creative management of this variety

would solve some institutional problems, it was clear that the current pressures in colleges required comprehensive management development within the context of new perspectives. Consequently, the Management Development Program committed its major thrust from the outset to encouraging rapid movement toward adaptation of some of the management techniques which have worked well for industry and government.

A management trilogy figured prominently in the development of the management inventory - the elements of administrative leadership, staff initiative, and professional counsel. The human elements of the trilogy are represented by Wilson-Sloan-Parekh, respectively, without whom the Inventory may never have been effected.

It was in 1971 that I became the first director of the Management Development Program and selected Miss Elaine P. Sloan as staff associate for the project to be responsible for the large volume of staff work.

Dr. Satish B. Parekh and I had known each other for several years and had cultivated a good working relationship particularly of the "think-tank" variety.

Being aware of the tremendous challenge and difficulty the project provided, I sought Dr. Parekh's counsel often. He was highly knowledgeable in the field of management and had experience

with predominantly Black colleges.

It soon developed that I was successful in persuading him to give up a consultant retainership with a management firm and join the Phelps-Stokes Fund on a similar basis. We immediately addressed the question of how best to determine the institutional need for management technical assistance.

Actually the seed for developing the Inventory was germinated over coffee at the kitchen table. Dr. Parekh was confident that no devices existed which would mirror to management a variety of self-perceptions about how and why things were done and about what was needed and, at the same time, create an awareness of reality regarding the pluses and minuses of daily institutional operations. We felt we would be entrapped, if we limited ourselves to unilateral views of any single administrator.

We discussed the matter further on a trip to Montreal. Dr. Parekh would always follow up with a report that crystallized our ideas, and it appeared that the interview process was the answer to the Management Development Program dilemma. Further, we nurtured the idea and got the imput of several psychologists who also had management backgrounds. Miss Sloan followed up our ideas and finally there was an outline and an assignment made to Miss Sloan to develop details of the interview instrument.

Both Dr. Parekh and I became increasingly excited about the Inventory development and often could not avoid becoming involved at staff level. A draft of the Inventory was finally developed and tested at Howard University and Morgan State College. Following considerable revisions, staff and volunteers were trained to administer the Inventory on a team basis, hopefully for all predominantly Black institutions. In retrospect, the perspective of the Management Development Program was clear from the outset as evident in a report issued by the Phelps-Stokes Fund which projected formation of the new program. The report, "Vigorous Survival: A Narrative Statement on the Cooperative College Development Program" includes a statement which makes the case for the creative work that went into the Inventory.

> "Survival is simply not enough for small developing colleges. They have to be healthy too - a health that results from nourishment of adequate resources and from efficient, effective, overall management. The latter point refers to management of education as well as other aspects of institutional enterprise services, facilities and relationships".

To help effect healthy, vigorous survival of developing institutions, something more than the ordinary fact finding mission was needed to implement comprehensive management development. Further, it was clear that something had to be done which would enable inst-

itutions to see how they perceived themselves and how they really are before any significant changes could be effected. Something had to be custom made. That's the story of the Inventory.

Herbert A. Wilson

Herbert A. Wilson, formerly Vice President, Phelps-Stokes Fund is now President of Wilson-Clarke Institutional Services, Inc.

INTRODUCTION

For some time now, the effective and efficient management of post-secondary institutions has been a crucial need in the field of higher education. Aside from management techniques that address themselves to specific institutional management concerns, a broader need has been felt for a methodology of self-study and self evaluation that deals with facts as well as perceptions as they relate to institutional management. The Management Systems Inventory, developed in 1971 and subsequently implemented by sixty-one institutions of varying types through 1975, addresses itself to that broader need. The Inventory is a management tool that is designed to permit an institution to evaluate itself through objective and subjective observations made on the basis of both facts and the perception of those facts by various internal and external organizational units and constituencies. Because the Management Systems Inventory is not an externally shared document such as a "self study" prepared for accrediting associations, it has succeeded to a much greater extent than any other known tool, in eliciting from the institution a more accurate profile of itself in terms of what the institution and its various functions mean to the individuals responsible for providing leadership. As such, it provides an institution with a substantive body of new information that it needs to know about itself from which corrective actions can be taken which stem from internalization of problems

prompted by external advice. Therefore, this tool, which is applicable to public and private and large and small institutions with varying program emphases, provides a shared approach to self evaluation.

Chapter I: Rationale

To be effective, any management tool or evaluative technique must be developed with a set of underlying assumptions and variables that reflect the reality of that system. Despite the fact that institutions of higher education reflect a multiplicity of management approaches and problems, and certain basic management principles remain constant, the ways in which they are approached can make the quantum difference in the effectiveness of the tool.

The Management Systems Inventory is based on a set of premises about the interrelationships, modes of behavior and resulting management procedures of individuals within an institution. These premises form the rationale for the inventory design and evaluative format.

From past involvement with institutions, it has become apparent that, in general, individuals within an institution become so closely absorbed by their particular contributory functions that they rarely have an opportunity to observe the entire institution as a set of connecting links that make up a homogeneous entity. This is neither surprising nor exclusive to post-secondary institutions because organizations tend to compartmentalize activities to the extent that one rarely gets a global view. Existing information systems reinforce this tendency by failing to provide the institution with communication channels and mechanisms that would facilitate perceiving the whole rather than the segments. Consequently, modes of behavior are established based on an indi-

vidual's understanding of his relationship to his function rather than on his understanding of the relationship of his function to the total operation. At this stage, an individual's perception of the facts are as important as the real facts because perceptions influence behavior. This tendency to function within one's own sphere mitigates against any commonality of understanding of the overall mission of the institution and the various roles that the segments must have in achieving that mission. This commonality of understanding, although vital, is often taken for granted and thus rarely exists.

In addition to the differences in perspectives relating to the aggregate and its parts many institutions face the problem of a lack of concensus about where the institution is and where it is headed. Even more damaging to the institution is often the lack of clear knowledge of what the differences in perception are. It is only when different decision makers are asked to articulate their understanding of the status and direction of the institution as well as their role relative to them, that the differences surface. The Management Systems Inventory, therefore, has at least a twofold rationale in this regard:

1. Does the whole perceive the parts properly?
   Do the parts perceive the whole properly? and,

2. Is there a concensus about these critical perceptions throughout the institutional environment?

Recognizing the need for a degree of objectivity in management, institutions have initiated self-studies in the hope of

assessing the current state of their institutions. The public relations efforts that are many times included in the studies often obscure more information than they objectively reveal. Frequently 'self-study' is perceived as a means of validating institutional accreditation and, therefore, with that validation, the study is supposed to have achieved its objective. The processes of the self-study end there. The Management Systems Inventory, on the other hand, projects the study as the beginning of a continuous process of internal change. The processes must be self-generating and revitalizing. They do not in fact, end with the completion of the Inventory. Realizing that real change stems from within, it is essential that institutions see themselves as they actually are in order to begin the internalization process. As a result, the Management Systems Inventory was developed as an instrument that would effectively deal with these assumptions.

The recognition of the above assumptions dictated that, to be effective, the Inventory as a tool should at a minimum serve seven purposes. First, the Inventory had to be designed such that it viewed the institution as a gestalt. That is, it had to be a reflection of the whole which in turn reflected every part. Second, it should identify each different part that made up the institution. Third, it should identify those key components within the institution that were impacting on the gestalt, including program structures and organizational configurations. Fourth, it should carefully explore such key areas as environmental factors,

planning, organizational governance and management, resources allocation and budgeting, communication links, and feedback-evaluation activity identification, that provide the connecting links with the internal institutional units. Fifth, it should incorporate into the system a sufficient number of checks and balances so that validity of the responses can be ascertained. Sixth, it should include non-decision maker's perceptions of the institution and its decision-action units. Seventh, it should present an institution with its own mirror image so that all of the discrepancies and inconsistencies, strengths and weaknesses become fully apparent to all individuals in the organization.

These then are the basic assumptions which have always been kept in mind as the tool was developed, tested, modified, retested and finally accepted for instrumentation.

Chapter II: Instrument Design

Traditionally, the techniques that have been developed for management purposes to diagnose management systems have utilized the survey, documentation approach. Information has been sought by asking questions and evaluating the evidence with factual documentation. One of the most frequently employed techniques, the management audit, perceives the management system as a set of interlocking networks. Through interviews, documentation and analysis of existing evidence, it pinpoints areas of the system that require review and modification. Despite this approach, at least at some levels, the procedure appears inadequate because of its preoccupation with abstract evidence and its failure also to perceive the management system as a set of varying personal perspectives that impact on the institutional gestalt. The emphasis, therefore, is equally divided between the systems and individuals operating them.

The Management Systems Inventory, while utilizing this basic approach in its conceptual design, goes one step further by prompting the type of introspection which identifies the various perceptions that act as catalytic agents for management behavior. By repeating key questions in identical form to a group of key individuals within and around the institution that relate to institutional and component operations and objectives, the Inventory determines the absence or presence of a commonality of understanding in crucial management areas. The presence of a variety of

responses that either support or contradict known facts, indicates that the response is valid within an individual's functional framework. The key, therefore, becomes the individual perception which triggers actions that may or may not be in the best interest of the institution. When this phenomenon is applied across the institution at various levels, it reveals a multiplicity of perceptions that trigger a multiplicity of actions. These either contribute to or detract from effective and efficient management. In either event, these multiple perceptions must be known by management for constructive manipulation. In addition, responses reveal the degree and quality of interaction and cooperation among various segments of the institution, and the extent to which divisional direction and support evolves out of an overall institutional thrust. This methodology of building and cross-referencing one question on another reveals the continuity or lack of continuity of the institution and its parts.

The Management Systems Inventory bridges the gap by being both an audit and a strategy. This bifocal approach becomes a strategy for concentrating on real issues rather than theoretical ones and enables the institution to conceptualize and internalize problems. The Inventory establishes five areas of concentration within the institutional environment. First, the Inventory audits the mission and goals of the institution and its components as a means of analyzing the foundation of the institution's direction.

Second, the Inventory audits the configuration of the organ-

izational structure and its applicability to achievement of the institution's mission and goals. Third, the Inventory audits the processes by which organizational responsibilities and authority are delegated at each management level within the institution. Fourth, the Inventory analyzes the institutional information system and the extent to which feedback and evaluation mechanisms assure that responsibilities are carried out with sufficient lead-time and desired results achieved. And fifth, the Inventory explores the management of the fiscal operations and its appropriateness for sustaining institutional continuity and direction.

The instrument design is by virtue of its concentration on these five areas within the institutional environment consistent with and supportive of the Rationale which gave birth to it.

CHAPTER III - The Instrument

The Management Systems Inventory is organized into a series of twelve separate documents which are designed to gather both factual, supportive data and subjective information on the operations and management of the institution. Factual data such as enrollment figures, faculty profiles, budget levels, etc. are provided from institutional records. Subjective information is gathered by posing questions to a selective group of institutional representatives. The institutional representatives include the President, a Trustee, a student, an institutional or non-institutional supporter (external to the institution), an institutional or non-institutional critic, a faculty representative, the Dean or Vice President of Academic Affairs, the Dean or Vice President of Student Services, the development or institutional research officer and the business and finance officer. These representatives were selected on the basis of their ability to convey beliefs and information on the reality of the institution and its management operation from a number of relevant perspectives. The above is illustrated in chart 1.

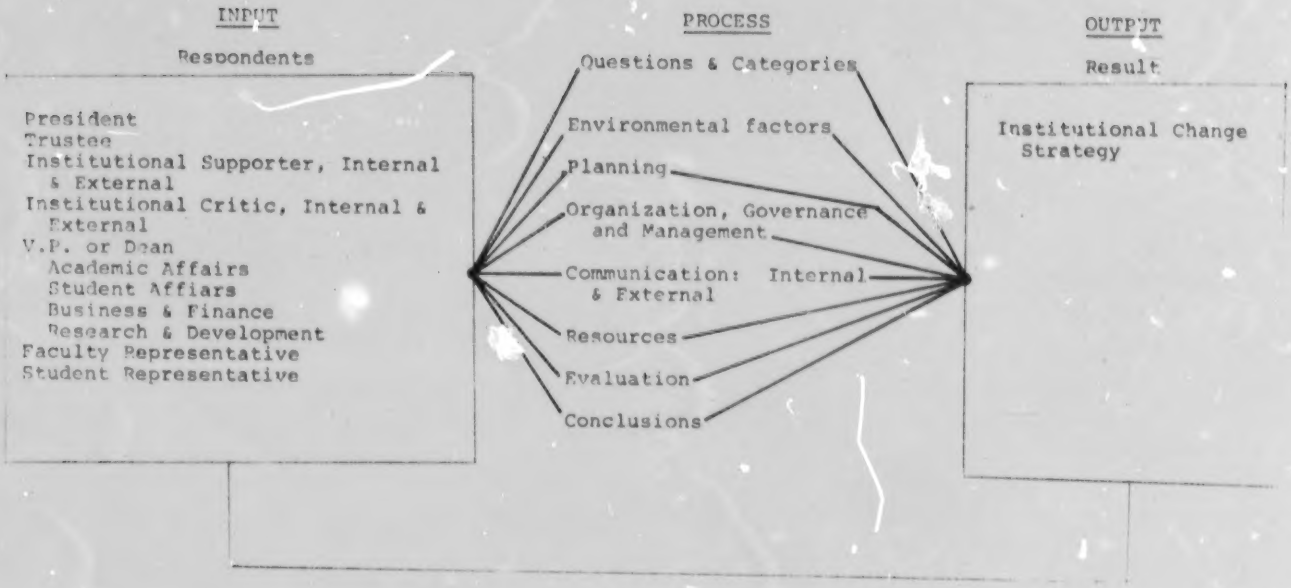
The twelve documents* that comprise the Inventory are as follows:

Document #1:	Institutional Profile
Document #2:	Document Checklist
Document #3:	President, Institutional Supporter and Institutional Critic Questionnaire
Document #4:	Non-Institutional Supporter and Non-Institutional Critic Questionnaire

* See appendix.

PHELPS-STOKES FUND MANAGEMENT SYSTEMS INVENTORY

CHART I



Document #5: Trustee Questionnaire
Document #6: Component Head Institutional Overview Questionnaire
Document #7: Academic Dean and Faculty Representative Questionnaire
Document #8: Dean of Student Service Questionnaire
Document #9: Student Representative Questionnaire
Document#10: Business Manager or Fiscal Affairs
Document#11: Development or Institutional Relations Officer
Document#12: Institutional Summary Report

Document #1: Institutional Profile

The Institutional Profile document is designed to gather descriptive, statistical information on the institution in the areas of type and geographical location, accreditation, student enrollment levels, instructional faculty breakdowns, trustee or regent breakdowns, administrative staff profiles, number and types of degrees, tuition and fee levels, governmental and non-governmental student financial assistance levels, library capability, alumni participation and contribution levels, institutional finance and asset levels, and capital expansion plans.

Document #2: Document Checklist

The Document Checklist is designed to elicit as much written information as is available concerning institutional procedures, policies and communications. Documents such as self-studies, faculty, staff and student handbooks, alumni, staff and student publications, procedural manuals, the institutional catalogue, annual reports, institutional case statement, long range planning documents, charter statement and/or enabling legislation, organizational chart, job descriptions, personnel performance evaluation

manual, financial statements, etc. are requested from the institution for review by the Inventory team.

Document #3: President, Institutional Supporter and Institutional Critic Questionnaire

This document poses a series of questions to the President and a supporter and critic within the institution concerning the management, problems, future direction and current operation of the overall institution.

By asking identical questions of the President, the supporter and critic, the extent to which the Presidential viewpoint is or is not shared by and communicated to a person who is involved in and identified to be supportive of the institutional effort becomes apparent. By the same token how much agreement on these issues is communicated by someone within the institution with a posture of variance offers the type of information that is essential to an objective analysis of the management system.

Document #4: Non-Institutional Supporter & Non-Institutional Critic Questionnaire

This document poses a series of questions to a supporter and critic outside of the institution concerning the management, problems, future direction and current operation of the overall institution.

Their responses provide some gauge of the extent to which the institution has communicated its direction outside of the immediate institutional environment and enables comparison of view-

points with those expressed by the President.

Document #5: Trustee Questionnaire

This document poses a series of questions to an institutional Trustee or member of the Board of Regents concerning the management, problems, future direction, Trustee involvement and their perceptions on current operation of the overall institution.

Responses from this document are designed to determine the extent to which the Trustees or Regents function as a governing body in establishing policy and share knowledge of the institution and the viewpoint of the executive officer on key management and institutional issues.

Document #6: Component Head Institutional Overview Questionnaire

This document poses, to the Dean or Vice President of Academic Affairs, the faculty representative, Dean or Vice President of Student Services, the development or institutional research officer, a series of questions concerning the management, future direction, problems, organization and operations on the overall institutional level.

Posing identical questions to representatives and heads of the major institutional divisions is designed to reveal the extent of a commonality of understanding among themselves and with the President on key issues concerning the institution by those with responsibility for implementing institutional goals, procedures and policy.

Document #7: Academic Dean and Faculty Representative Questionnaire

This document poses a series of questions to the Academic Dean and Faculty Representatives concerning the specific goals, objectives, organization, management, problems and programs of the academic affairs component of the institution.

The cross referencing of responses between division heads responsible for establishing component policies and procedures and a faculty member charged with implementing them is designed to reveal the degree of continuity within the component concerning validity of programs, and consistency of approach concerning component management issues.

Document #8: Dean of Student Services Questionnaire

This document poses a series of questions to the Dean of Student Services concerning the specific goals, objectives, organization, management, problems and programs of the student services component of the institution.

Document #9: Student Representative Questionnaire

This document poses to a representative of the student body a series of questions concerning the overall institution, student achievement and motivation, student participation in management, academic and supportive service programs, and student government programs.

Various questions concerning programs of the academic affairs and student services component are repeated to the student in an effort to verify component impressions of program effectiveness and solicit the student perspective.

Document #10: Business Manager or Fiscal Affairs Questionnaire

This document poses a series of questions to the Business or Fiscal Affairs Officer concerning the organization, procedures, goals, management, strengths and weaknesses of the fiscal affairs component and the institution as a whole.

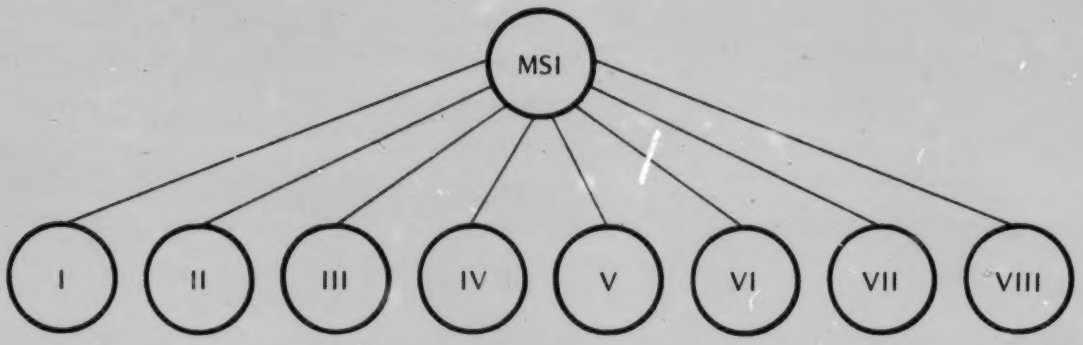
Document #11: Development or Institutional Relations Officer Questionnaire

This document poses to the Development or Institutional Relations Officer a series of questions concerning the specific goals and objectives, programs, procedures, organization, management, and future plans of the development component of the institution.

Document #12: Institutional Summary Report

This document is designed to elicit from the Inventory interview team, their perceptions of the current state of the institutional and component management systems with respect to technical assistance needs, long range planning capability, communications networks, organizational structure, strengths and weaknesses, decision making, management approaches, and other related matters.

The remainder of this chapter introduces Inventory categories to provide the reader with an indication of the scope and potential usefulness of the instrument. The categories are illustrated in the following chart.



Each category will be described by:

1. Presenting key questions in each category
2. Introducing sample responses to the questions
3. Presenting the kinds of analyses and cross-referencing which can emerge as indicators of the internalized process of institutional change.

The questions which are designed for the institutional representatives and presented in documents #3 through #11, are grouped into eight broad categories and eleven sub-categories. Information in each of the broad categories is obtained from all representatives, and information in the sub-categories represents specific data pertinent only to various component functions. The eight broad categories in which questions fall are as follows:

I. Environmental Factors
II. Institutional & Component Planning
III. Organization: Governance & Management
IV. Information Outflow: Internal Communication
V. Information Outflow: External Communication
VI. Resource Management
VII. Evaluation
VIII. Conclusion

Under the category of Organization: Management and Governance, the following sub-categories appear which provide information relative to specific component responsibilities. They are:

Student Affairs
Faculty Affairs
Fiscal Affairs
Academic Affairs
Student Services Programs
Curricular Programs
Development Programs
Business Management
Registrar's Office
Student Leadership
Special Data

These sub-categories have been combined for the purposes of a narrative explanation into groupings that relate to the four major organizational divisions of Academic Affairs, Student Affairs, Business and Finance and Research and Development.

Category I: Environmental Factors

This section is designed to identify those basic environmental and historical factors which place the institution and its components in their own unique perspective. Key questions in this area are:

1. Describe the present institutional goals and objectives. How successful has the institution been in realizing these goals and objectives?
   (Asked all respondants)

2. In terms of overall management, what would you say are the five most crucial problems facing the institution?
   (Asked all respondants)

3. How do you perceive the unique role of this institution as opposed to that of other institutions of higher education?
   (Asked all respondants except student)

4. Are there any historical factors which have affected present day management? Are there any environmental

factors affecting management today?
(Asked 11 respondants except student)

5. Describe the goals and objectives of your component. How successful is your component in realizing these goals and objectives?
(Asked all component heads)

6. In what ways do the objectives of your component relate to the larger perspective of institutional objectives?
(Asked all component heads)

7. As a representative of the Board of Trustees, please explain how the Board perceives its functions? Is the role of the Board changing in response to new developments in the field of higher education? In what ways?
(Asked of Trustee only)

8. Does the Board have a procedure for developing institutional plans and policies? If yes, please describe.
(Asked of Trustee only)

9. What are the criteria for Board membership? Is this a critical problem area?
(Asked of Trustee only)

10. How would you describe the relationship between the Board and: Administrators, faculty, students? Do you have any suggestions for improvement?
(Asked of Trustees only)

11. What kinds of information does the Board receive from the President, faculty, institutional components, student representatives?
(Asked of Trustees only)

12. What is the institutional policy regarding academic freedom for faculty and students?
(Asked Academic Dean & Faculty Representatives only)

13. What attracts students to this institution?
(Asked of student only)

14. What types of motivation exist for student achievement?
(Asked of student only)

A cross-referencing of the responses in this section could for example, reveal that:

- 3 of the 4 top administrators had differing opinions on the goals of the institution.
- 2 components had not developed component goals.
- 1 component's goals did not relate to overall institutional goals.
- Members of the Board although involved in institutional policy making, did not receive regular information from key institutional constituencies.
- Students did not perceive that the institution had developed mechanisms to stimulate academic achievement.

Based upon the above information, therefore, certain conclusions could be drawn concerning the institution. In this case for example, the following assumptions could be made with respect to management.

- The mission of the institution has not been properly defined to the extent that it is relevant operationally to everyone.
- Vital institutional constituencies such as components appear to be functioning autonomously with little coordination.
- Since component goals do not appear to be developed consistently, those that are developed may be at variance with those of the institution.
- Channels of communication within the institution are inadequate and do not appear to be functioning vertically (Trustees to component to students) or horizontally (across components).

Category II: Institutional and Component Planning

Since the presence or absence of planning, both on the overall institutional and component level, has implications for the

management approach of the institution, the category of institutional and component planning attempts to determine whether there is a long range planning effort in place for the institution and its components, whether the planning process is operational, who is involved in its development, whether operational and evaluative procedures have been incorporated and how valid the planning process is within the institutional framework. Key questions in this area are:

1. Does the institution have a specific long range plan? If yes, describe. Is there a procedure for reviewing and revising the plan? Describe. Do these procedures involve faculty and student participation in the planning process: Are there any special conditions which have recently affected the implementation of the plan? Explain.
(Asked all respondants)

2. Does your component have a specific long range plan? If yes, describe. Do these procedures involve faculty and student participation in the planning process? If yes, how are they represented? Is there a procedure for reviewing and revising the plan? If yes, describe procedures. Are there any special conditions which have recently affected implementation of the plan? Explain.
(Asked of all component heads)

3. Is there a procedure for continual improvement in your component planning? If yes, describe procedure.
(Asked of all component heads)

4. Have the Trustees been involved in the development of the long range plan? If yes, describe the involvement.
(Asked of Trustees only)

5. In what areas of institutional long range planning are established objectives of the plan being met? Has a procedure been designed to coordinate the efforts of all institutional components in realizing the established objectives? If yes, describe.
(Asked of Non-Institutional Supporter & Critic)

Typically, responses to questions in the area of long range planning could reveal the following:

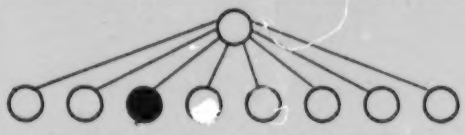
- Although a comprehensive long range plan has not been instituted, projections for enrollment and physical facilities expansion have been made for the institution.
- Limited financial resources have restricted the institution's ability to plan adequately.
- 3 of 4 major component heads have developed long range plans for their divisions for a five year period.
- The Board of Trustees when presented with the enrollment and physical facilities expansion plans approved the plan by majority vote.
- At both the institutional and component level, evaluation of the long range plans are made annually by a review of the budget.

On the basis of information revealed by the preceeding questions, the following conclusions can be drawn:

- Institutional planning solely in the areas of enrollment and physical facilities is likely to fail or plunge the institution into added financial difficulty because increases in enrollment and physical facilities necessitate concurrent planning in all other areas i.e., increased faculty, counselling staff, additional supportive services, increased maintenance staff etc.) to support the planning effort.
- The planning efforts of the components lack both inter-office coordination and support and are likely to encounter operational roadblocks because they were developed by component heads without adequate input from support staff.
- Planning across the institution appears to be a rather piece meal effort that is viewed as a solution to crisis problems as opposed to an opportunity to coordinate resources to avoid crisis.
- The Board of Trustees rather than being actively involved in the planning efforts as a governing body, appears to function as a stamp of approval after the fact.

- On both the component and institutional level, long range planning appears to be a static effort that is evaluated only with respect to money and not with respect to the absence or achievement of desired results.

Category III: Organization: Governance and Management



This category of questions is designed to reveal how the institution manages itself on both the component and overall institutional level. As such, it focuses on the institutional organizational structure, the decision making process, management procedures, coordination among offices and between jobs and issues of delegation of authority and responsibility by paralleling the institution and its key components. Key questions in this category are as follows:

1. How would you characterize the prevailing institutional approach to management? (democratic, autocratic, laissez-faire, team approach, etc.) Why is it this way?
   (Asked of all respondants)

2. Is there a procedure to generate and coordinate faculty and student participation in institutional governance and management? If yes, describe procedures.
   (Asked of President, Institutional Critic & Supporter)

3. Before final decisions are made concerning the affairs of each component, is the agreement of faculty representatives and students sought?
   (Asked President, Institutional Critic & Supporter)

4. Are there procedures for:

   Recruitment and selection of personnel? (faculty and non-faculty)
   Orientation of new personnel?
   Training and development of personnel?
   Appraisal of personnel performance?

Who is responsible for these functions? Are such procedures written?
(Asked of President, Institutional Critic & Supporter)

5. Is there an organizational chart for this component?
(Asked of all component heads)

6. Is turnover of personnel a problem in this component?
(Asked of all component heads)

7. Is there a procedure to involve faculty and students in the management and governance of this component? If yes, please describe.
(Asked of all component heads)

8. What is the procedure for appointment of administrative officers for this component?
(Asked of all component heads)

9. Has a specific procedure been designed to coordinate the efforts of this component with other institutional components? If yes, describe procedure.
(Asked of all component heads)

10. Are written job descriptions required for:
Administrative personnel (including clerical & secretarial?)
Faculty?
Supportive Services (including maintenance & security?)
Counselling Staff?
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

11. Do job descriptions define the extent of delegate authority and coordination between jobs?
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean, & Faculty Representative)

12. Has delegated authority been clearly assigned for continuation of operations by subordinates, when necessary?
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

13. Is there a special procedure designed to develop cooperative working relationships among management and support staff? If yes, describe.

(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

14. To what external authorities is the institution accountable?

Religious Bodies?	Is this a problem?
State Agencies?	" " " " ?
Federal Agencies?	Is this a problem?
Educational Accrediting Agencies	" " " " ?
Other	Is this a problem?

(Asked of Non-Institutional Supporter & Critic, Trustee, President, Institutional Critic & Supporter)

15. Have a set of objectives been developed for your component's program?
(Asked of Student Services, Academic Dean, Faculty Representative and Student)

16. What are the criteria upon which the adoption and introduction of new programs are based?
(Asked of Student Services, Academic Dean, Faculty Representative and Student)

Responses to questions in this category on both the component and overall institutional level could, for example, reveal the following:

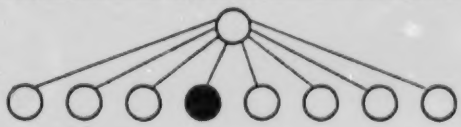
- The institution and its components indicate that the team approach is the prevailing style of management.
- Although staffing procedures are known, they are not available in written form and vary from office to office.
- Job descriptions are available for all institutional staff, however, questions of delegated authority are not mentioned.
- Faculty and student representatives are members of institutional governance and management committees but their participation is marginal.
- Middle management personnel indicated that in the absence of superiors, management decisions cannot be made.

On the basis of the above responses, the following assumptions

can be drawn about the institution's organizational structure:

- Despite popular opinion, the institution does not utilize the team approach to management.
- Decision-making appears to be centered among the heads of the departments.
- Lack of staffing procedures and delegation of authority would indicate the middle and support personnel are not being utilized to their full capacity.
- Current committee structures appear inadequate because of their inability to actively involve two vital institutional constituencies.
- The lack of consistent application of personnel procedures from office to office may lead to low staff morale and personnel conflict.

Category IV: Information Outflow: Internal Communication



This group of questions is designed to determine the internal sources and channels of communication of the institutional community, and focuses on the patterns of communication, communication links and adequacy of communications flow at both the institutional and component level. Key questions in this category are:

1. What forms of communication automatically flow from the President's office to the internal community?
   Subject Area Form & Title Recipient How Often
   (Asked of President, Institutional Supporter & Critic)

2. What channels of communication does the institution provide in the following areas:
   Student - Student? Student - Administration?
   Faculty - Faculty? Student - Faculty?
   Administration - Administration?
   Faculty - Administration?
   (Asked of President, Institutional Supporter & Critic)

3. Does the communications network actually reach appropriate sectors of the internal community?
(Asked of President, Institutional Supporter & Critic)

4. Is there a procedure for generating and coordinating communication within your component? If yes, describe procedure.
(Asked of all component heads)

5. What forms of communication automatically flow to persons directly involved in your component operation?
Subject Area Title & Form Recipient How Often
(Asked of all component heads)

6. Is there a procedure designed to insure adequate communication between your component, administration, faculty and students? If yes, describe procedure.
(Asked of all component heads)

7. Is there a procedure for generating and coordinating internal institutional communication? If yes, describe procedure.
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

8. Are communication services known to the entire student community? Are they made easily accessible to potential users?
(Asked of Dean of Student Services)

9. Is there a procedure designed to generate and coordinate communication between students and faculty? If yes, describe procedure.
(Asked of Academic Dean & Faculty Representative)

10. What types of information flow between:
Faculty and students?
Administration and students?
Trustees and students?
Could this be improved? How?
(Asked of student)

Responses to questions in this category could reveal the following concerning the institution's system of internal communication:

- There is no listing of the types of reports generated by the institution and its components.

- Each department and office circulate the type of information that they feel is important for the institutional community to be aware of.

- Newsletters, memos, meetings and personal contact are the formalized institutional channels of communication with heavy reliance on personal contact.

- Each division head indicates that regular meetings are held with their staffs to keep them abreast of component concerns.

- Division heads indicate that staff feels they do not always know what is happening within the institution as a whole.

- The student representative indicated that the majority of communication flows to them from faculty; there is no contact with Trustees and communication with the administration includes meetings and contact on personal academic matters.

From these responses, the following conclusions can be drawn about the internal communications system:

- Data appear to be generated throughout the institution with no knowledge of its usefulness to those who are receiving it.

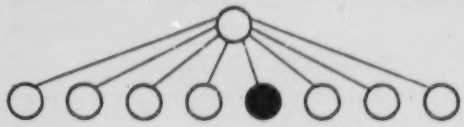
- The current formal channels of communication appear inadequate for insuring component coordination.

- Information appears to flow among component heads but does not filter down the system to those who are responsible for operationalizing functions.

- The reliance on personal contact as a source of communication is inadequate for systematically disseminating vital information.

- Communication with students is generally through faculty contact and the channels for Administration and Trustees are virtually non-existent.

Category V: Information Outflow: External Communication



Questions in this section are designed to determine how the institution communicates with its external community and focuses on the sources and methods of communication it has established, their adequacy and the resulting impressions it has created within the external community. Key questions in this category are:

1. Have public relations efforts resulted in a positive relationship between the institution and the external community? What could be done to improve public relations with the external community?
   (Asked of all respondants except student)

2. Is there a procedure designed to generate and coordinate communication between your component and other institutional components, and where applicable the external community? If yes, describe procedure.
   (Asked of all component heads)

3. Is there a procedure designed to provide for continual improvement in information outflow: internal and external? If yes, please describe.
   (Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

4. What are the objectives of the community as it relates to the institution?
   (Asked of Non-Institutional Supporter & Critic)

5. Has the institution established any programs or developed research mechanisms in response to community needs and interests? If yes, please describe.
   (Asked Non-Institutional Supporter & Critic)

6. In what types of community activities do students participate? Is this a problem area?
   (Asked of student only)

7. What types of information flow between:
   Faculty and students?
   Administration and students?
   Trustees and students?
   Could this flow be improved? How?
   (Asked of student only)

8. Explain what comprises the institution's external community.
   (Asked of Non-Institutional Supporter & Critic, Trustee, student, President, Institutional Supporter & Critic)

9. Is there a policy or procedure for generating and coordinating institutional communication with the external community? If yes, describe procedure.
   (Asked of Non-Institutional Critic & Supporter, Trustee, President, Institutional Supporter & Critic)

10. What forms of communication automatically flow from the institution to the external community?
    Subject Area Form & Title Recipient How Often
    (Asked of Non-Institutional Supporter & Critic, student, President, Institutional Supporter & Critic)

In the area of external communication, responses could for example, reveal the following:

- 6 out of 10 of the respondants feel that the institutions public relations efforts have helped to improve the institutions sagging image with the community.
- The Presidents Office and the Development Office are the only two units that regularly communicate information to the external community.
- The nature of involvement with the external community is in the form of dissemination of institutional news and fund-raising efforts.
- No information on the needs of the community has been gathered except as they relate to fund-raising efforts.
- Student involvement with the external community takes the form of local church membership and summer employment in community service programs.

The above responses would indicate the following concerning the institution's relationship with the external community:

- The institution appears to view the external community only as those people and organizations that could potentially contribute to the institution in a financial manner.

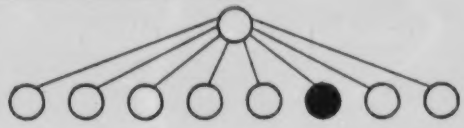
- Due to the nature of involvement with the external community and the absense of institutionalized programs for community residents, it would appear that the institution does not view the indigenous community as an important constituency.

- The information shared with the external community is one way and of a limited nature since it only takes the form of recording of events and does not involve communication of how the institution is contributing to the external community.

- The image of the institution within the community will not improve significantly until its policies that restrict it to involvement with a limited constituency are revised.

- Contact with only three internal constituencies, the President, Development Office and students, gives the external community a limited view of the institution as a whole.

Category VI: Resource Management



The category of questions that relate to resource management is designed to indicate how the institution is utilizing and managing its fiscal resources and focuses on budget allocation procedures, and critical resource shortage areas,from both the component and overall institutional level. Key questions in this area are:

1. In which resource area(s) is a shortage most critical? (space, equipment, money, people?) (Asked of all respondants)

2. Is there a procedure for organizing and allocating re-

sources? (space, equipment, people, money, etc.) If yes, describe procedure. Is it implemented in terms of established priorities?
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean, & Faculty Representative)

3. Is there a procedure designed to provide continued improvement in resource management? Describe procedure.
(Asked of President, Institutional Supporter & Critic, Business Manager, Trustee, Development Officer, Student Services, Academic Dean, & Faculty Representative)

4. Do you feel that there are problems in the management of institutional resources? If yes, please identify the problem area. Specifically, are there problems in the effective utilization of:
Human resources?
Physical resources?
Monetary resources?
Do you have any suggestions for improvement?
(Asked of Trustee only)

5. Are the financial affairs of the institution being adequately managed?
(Asked of Non-Institutional Supporter & Critic)

6. Have resource requirements been analyzed for each department and academic program?
(Asked of Academic Dean & Faculty Representative)

7. Has an analysis been made of usage of audio-visual equipment and techniques?
(Asked of Academic Dean & Faculty Representative)

8. Has an analysis been made of library usage by departments and students?
(Asked of Academic Dean & Faculty Representative)

9. Has an analysis been made of projected and actual library holdings, acquisition patterns and costs?
(Asked of Academic Dean & Faculty Representative)

10. Does the school have access to resources outside of the institution? If yes, please specify.
(Asked of Academic Dean & Faculty Representative)

The above key questions could, for example, reveal the following about the institutions resource management.

- 8 of the 10 institutional representatives agreed that money, personnel and physical space were the most critical resource areas.

- Sources of funds outside the institution are tapped in a limited manner except for acquisition of federal student aid funds.

- The budget allocation procedures involve submissions of budgets by division heads and division of money across programs.

- No analysis of usage of audio-visual, physical space or departmental resources has been made.

- Priorities for allocation of resources is made on the basis of available funds.

- Institutional representatives expressed confidence in the competence of the Business Manager and felt that he was doing the best with what he had.

- Division heads are not given itemized division budgets.

Based on these observations, the following conclusions could be made concerning the institution's resource management procedures.

- The failure of the institution to generate data on analysis of current institutional resources usage would indicate that the institution is expending revenue with no indication of whether it is achieving desired results.

- The budget allocation procedure would appear to be futile, if division heads are asked to submit budget request without knowing how previous funds were spent.

- The failure to establish priorities for resources allocation and the subsequent practice of spreading various resources across programs and departments is counter-productive.

- The current resource management procedures of the institution fall into a historical pattern of scraping from one year to the next

- Aside from the process of allocating existing resources, there appear to be no procedures that would serve as signals when resources in any one area are reaching a critical point.

- Funds from outside sources will continue to be limited unless the institution is capable of providing information and analysis of how current resources are being used and their effectiveness.

Category VII: Evaluation

This series of Inventory questions is designed to determine whether the institution has feedback mechanisms within its structure that would serve as a source of evaluation of institutional policies, and procedures, so that the institution is able to modify and re-focus its direction for efficient management and achievement of institutional goals. Key questions in this area are:

1. Is there a procedure for evaluating the performance of the institution? Realizing its objectives? Describe procedure. Carrying out staff responsibilities? Describe procedure.
   (Asked of President, Institutional Supporter & Critic)

2. Is there a reporting procedure designed which gives decision makers in this component the necessary data for making decisions? If yes, describe procedure. If no, is one planned?
   (Asked of all component heads, President, Institutional Supporter & Critic, Faculty Representative)

3. Does the amount, extent and reporting of feedback give the decision makers in your component an accurate picture of what is really happening?
   (Asked of all component heads)

4. Is there a procedure for evaluating the performance of your component in:
   Realizing its objectives? Describe procedure.
   Carrying out staff responsibilities? Describe procedure.
   (Asked of all component heads)

5. Do you have a set of planning goals (annual and long range) which enables you to measure the progress made by the institution? If yes, can you tell if the institution is on schedule in meeting its goals? Are there ways of knowing if the institution is on target in measuring its goals?
   (Asked of Trustee)

6. Is there adequate feedback from the community to the institution?
   (Asked of Non-Institutional Supporter & Critic)

7. Do you think the amount of feedback gives institutional decision makers an accurate picture of community needs and expectations?
   (Asked of Non-Institutional Supporter & Critic)

8. Is there a procedure for periodic teacher evaluation? If yes, describe procedure. If no, is one planned?
   (Asked of student only)

9. Is there a procedure for institutional self-evaluation? If yes, describe procedure.
   (Asked of student only)

10. Is there a procedure designed for continual improvement in feedback? If yes, describe procedure.
    (Asked of Academic Dean, Student Services, Faculty Representative, Development Officer, President, Institutional Supporter & Critic)

This series of questions could for example reveal the following about an institution's feedback and evaluation system:

- Although each component head and the President indicate that there is evaluation of institutional progress, there is no specific procedure for doing it.

- There is no institutionalized channel for feedback from the external community nor is it sought formally.

- 3 component heads and the President feel that they have

adequate information for making decisions, however, the Faculty Representative, the Institutional Critic and one component head disagree.

- Students indicate that they are aware of no procedures for evaluating teachers or the institution.

- The Trustee feels that planning goals are sufficient for gauging institutional progress.

Based on these responses, the following conclusions could be made about the institution's evaluative process:

- Evaluation at both the institutional and component level appears to be ineffectual and of a subjective nature.

- The lack of written evaluative procedures is a function of the fact that institutional and component goals are not in a form that can be easily measured.

- The fact that one component head, and a faculty representative feel they lack sufficient data for making decisions indicates that decision making may be centralized among specific individuals for other than organizational reasons.

Category VIII: Conclusion

This category of questions is designed to elicit from respondants their perceptions of the overall climate of the institution, its strengths, weaknesses and future needs. Key questions in this category are:

1. What, if any, outside consultant assistance is the institution presently receiving? (overall institutional activities)
   (Asked of Business Manager, Development Officer, President, Institutional Supporter & Critic)

2. In terms of overall management, what would you say are the greatest strengths within the component?
   (Asked of all respondants)

3. What kinds of problems or activities take up most of your time? Is this a problem area?
(Asked of all component heads)

4. What steps should the institution take towards solving any of these problems?
(Asked of all respondants)

5. What kinds of problems or activities take up most of the President's time? Is this a problem area?
(Asked of President, Institutional Supporter & Critic, Business Manager, Development Officer, Student Services, Academic Dean & Faculty Representative)

6. What kinds of problems or activities take up most of the Trustee's time? Is this a problem area?
(Asked of Trustee only)

7. How would you characterize the overall educational climate or environment in your institution?
(Asked of Non-Institutional Supporter & Critic, Trustee, President, Institutional Supporter & Critic)

The above questions could, for example, elicit the following information:

- The respondants found it difficult to characterize the educational climate at the institution but alluded to an atmosphere where students were striving to better themselves.

- The President and the component heads felt that meetings and supervising component activities took up most of the President's time.

- Component heads felt meetings and supervision of staff took up most of their time.

- The majority of respondants felt the institution's greatest strengths were the dedication of faculty and staff and its ability to continue to survive on limited financial resources.

- The President felt reorganization of time was the answer to solving the institution's problems, while the remaining respondants were unsure of what could be done in this area.

- No outside consultant assistance has been sought.

Based on the preceeding information, the following conclusions could be drawn:

- The institution is in need of technical assistance that would address itself to the problem revealed in a number of management areas.
- The inability of the majority of institutional representatives to identify their own approaches to problem solving may indicate a need for inter-institutional coordinating, communication and reveal an inability to perceive the institution within a collective, team-oriented context.
- The perception of the dedication of institutional staff as a major strength by the majority of respondants represents a vital base from which collective problem solving can emerge.
- The activities of the President with respect to component supervision should be carefully analyzed with respect to its appropriateness for efficient executive management.

In addition to inquiries made in the aforementioned eight broad categories, the Inventory seeks to identify and evaluate the ways in which each of the major institutional divisions relates to approaches, and carries out its specific component functions. The following key questions in the areas of Student Affairs, Academic Affairs, Business and Finance and Research and Development are presented to give an indication of the major Inventory focus in these areas.

Student Affairs

Under the division of Student Affairs, Inventory questions in the sub-categories of student services programs, student leadership, student affairs and special data have been combined. Key

questions raised with representatives involved in these specific functions are as follows:

1. What are the criteria upon which student selection is based?
   (Asked of Academic Dean & Faculty Representative)

2. Is there a procedure designed for orientation of new students? If yes, explain. Do you feel orientation could be improved?
   (Asked of Academic Dean & Faculty Representative)

3. How are standards of student achievement defined?
   (Asked of Academic Dean & Faculty Representative)

4. Is there a procedure designed to assess the academic progress and needs of individual students? If yes, describe procedure.
   (Asked of Academic Dean & Faculty Representative)

5. Is departmental effectiveness analyzed in terms of students with below average, average and above average achievement?
   (Asked of Academic Dean & Faculty Representative)

6. Is there a procedure designed to evaluate the effectiveness of the handling of all student concerns? If yes, describe procedure.
   (Asked of Academic Dean & Faculty Representative)

7. Have programs been developed to deal adequately with the general well-being of students in the following areas:

Counselling:	Testing Services
Personal	Foreign and Minority Students
Vocational	Off-campus Students
Educational	Food Services
Financial	Health Services
Religious	Placement Services

   (Asked of student and Student Services)

8. Have programs been developed to deal adequately with co-curricular and extra-curricular student activities in the areas of:

College Unions/Centers	Budgeted Amount $_____
Athletics	Budgeted Amount $_____
Social&Cultural Ativities	Budgeted Amount $_____
Student Government	Budgeted Amount $_____

Community Relations Budgeted Amount $_____
(Asked of student and Student Services)

9. Have programs been developed to deal adequately with student financial needs through:
Federal and State Government Aid
Student part-time and summer employment
Loan programs
Scholarships and stipends
(Asked of Student Services and student)

10. Has the present and projected employment market been identified for students and graduates?
(Asked of student and Student Services)

11. Are data available on placement of students who have graduated?
(Asked of Student Services)

12. Is there a procedure designed to find out where students actually go to solve problems on a formal and informal basis? If yes, describe procedure.
(Asked of Student Services)

13. How successful is the Student Government Association in obtaining its objectives?
(Asked of student only)

14. What would you say are the most crucial problems facing the Student Government Association on this campus?
(Asked of student only)

15. To what degree does the Student Government Association participate in institutional governance and management? Is this a problem area?
(Asked of student only)

16. How frequently do the President and the Student Government Association officers meet? Is this satisfactory?
(Asked of student only)

Academic Affairs

Under the division of Academic Affairs, Inventory questions in the sub-categories of faculty affairs, academic affairs, curricular programs and registrar's office have been combined. Key

questions posed to representatives involved in these specific functions are as follows:

1. Are there adequate procedures for the following registrar functions? Student Record Keeping? Registration? Scheduling and Sectioning? Reports and Transcript Production?
   (Asked of student, Faculty Representative, Academic Dean)

2. Is the design of the academic calendar satisfactory?
   (Asked of student, Faculty Representative & Academic Dean)

3. Are you satisfied that the curriculum is sufficiently balanced to meet the present and future needs of the student body?
   (Asked of Academic Dean & Faculty Representative)

4. Have programs been developed to provide for: Student directed plans of study? Cooperative education? Interdepartmental cooperation? Inter-institutional cooperation?
   (Asked of Academic Dean & Faculty Representative)

5. Has a study been undertaken to determine curricular needs for present and prospective students? If yes, please describe procedure. If no, is one planned?
   (Asked of Academic Dean & Faculty Representative)

6. Do the development and assignment of courses meet requirements of programs and needs of students?
   (Asked of Academic Dean & Faculty Representative)

7. Is there a procedure for faculty recruitment and selection? If yes, describe procedure.
   (Asked of Academic Dean & Faculty Representative)

8. Is there a procedure for orientation of new faculty? If yes, describe procedure.
   (Asked of Academic Dean & Faculty Representative)

9. Is there a procedure for analyzing faculty performance? If yes, describe procedure. Is the same procedure implemented in all departments? Once evaluative data is collected, what is done with it?
   (Asked of Academic Dean & Faculty Representative)

10. Have faculty work-loads been identified and analyzed for:

Number of teaching hours in terms of degrees?
Number of teaching hours in terms of work?
Number of teaching hours in terms of rank?
Faculty time spent on advising, research, publishing?
Qualifications of faculty?
(Asked of Academic Dean & Faculty Representative)

11. Has a procedure been designed to evaluate the effectiveness of the handling of all faculty concerns? If yes, describe procedure.
(Asked of Academic Dean & Faculty Representative)

12. What academic services are available to students?
(Asked of student only)

13. Are students aware of the various academic services? If yes, do they take advantage of available services? If no, how could this be remedied?
(Asked of student only)

14. What non-academic services are available to students? Are students aware of the various non-academic services? If yes, do they take advantage of these services?
(Asked of student only)

Business and Finance

Under the division of Business and Finance, Inventory questions in the sub-categories of fiscal affairs and business management have been combined. Key questions raised with representative involved in these specific functions are as follows:

1. Are the procedures for and products of each function well-defined in the following areas:
Accounting and Budgeting Systems?
Financial Statements and Reports?
Accounting Manual?
Processing Invoices?
Payroll Preparation and Audit?
Petty Cash Control?
Accounts Receivable Control and Aging Schedule?
Cash Receipts, Cash Disbursements, Cash Flow and Management of Contractual Agreements?
Personnel?
Personnel System?
Time and Attendance Records?

Space Utilization Model?
System of Procurement and Property Management?
Inventory Control?
Health and Safety Systems?
(Asked of Business Manager only)

2. What management systems have been installed? Has a program planning and budget system been used on this campus? (Asked of Business Manager only)

3. Is there a procedure for coordination of special and federally funded programs? If yes, describe procedure. (Asked of Business Manager only)

4. Are arrangements for legal counsel satisfactory? (Asked of Business Manager only)

5. Are recent audits successively positive about financial management? Is required audit being secured by this institution? If no, please explain. (Asked of Business Manager only)

6. Do financial statements adequately represent the strengths and weaknesses of the institution? (Asked of Business Manager only)

7. What criteria are used for justifying budgets? (Asked of Business Manager only)

8. Are research and sponsored research programs analyzed to ensure overhead costs? (Asked of Business Manager only)

9. Is the institution adequately insured? (Asked of Business Manager only)

10. Is there an institutional foundation established to collect funds? (Asked of Business Manager only)

11. Are the financial affairs of the institution being adequately managed? (Asked of Non-Institutional Supporter & Critic)

Research and Development

Under the division of Research and Development, Inventory questions in the sub-category of development programs are included.

Key questions posed to the representative involved in that specific function are as follows:

1. Have adequate programs been developed for the following constituencies:
   Community Relations? Does it include:
   - Outline of Purpose?
   - Methods of Communication?
   - Programs and Events?

   Alumni Relations? Does it include:
   - Outline of Purpose?
   - Methods of Communication?
   - Program and Events?

   Trustee Relations?
   - Other? specify.

   (Asked of Development Officer)

2. Do fund-raising plans include:
   Strategy? Realistic Goals?
   Timetable? Potential Sources of Support?
   (Asked of Development Officer)

3. Has the institution's case statement been developed? If yes, summarize what is included in the case statement. If no, is one planned?
   (Asked of Development Officer)

4. Has an impact study been made on the institution's economic effect on the community?
   (Asked of Development Officer)

5. Have the following been implemented for record files:
   Master Information Card?
   Gift History?
   Biographical File Folder?
   (Asked of Development Officer)

6. Is gift receiving centralized in the development office?
   (Asked of Development Officer)

7. Have reporting procedures been developed to disseminate information on:
   Progress of Programs?
   Amount and kind of support received?
   (Asked of Development Officer)

8. Is there a procedure for processing and acknowledging gifts and grants?
   (Asked of Development Officer)

An analysis, similar to that presented in the eight broad categories, of the preceeding questions relating to specific component functions will provide the institution with a mechanism for determining the appropriateness and effectiveness of component programs, procedures and policies. By cross-referencing responses among components, respondants, the impact of these functions on the constituencies for which they operate will reveal whether or not they are effectively serving the purposes for which they are designed.

Ideally, a team of two individuals knowledgable about higher education, but external to the institution should conduct the Inventory so that subjective inputs can flow from the respondants without inhibitions. The Phelps-Stokes Fund has found through experience that a team of two such individuals remaining on the campus for a period of three days to gather information achieves the best results. The report generated on the basis of an analysis of Inventory findings should immediately follow the interviews, in order to fully capture the content, as well as the spirit of the materials gathered. Finally, the report should be discussed personally with the President to solicit executive reaction and preclude misinterpretation of data. The Phelps-Stokes Fund continues to provide the Inventory implementation services to the institutions desirous of receiving such assistance.

An example of the type of report that can emerge from the Inventory effort is discussed and presented in the following chapter.

Chapter IV: The Product

The report based on the Inventory can, of course, take many forms. The data would provide details that require actions by the institution and its components. Some actions could be external to the institution, and some could require action of an internal nature. In any event, the report would provide a basis for concurrent actions that would promote a more balanced approach to the institutional problems than would be possible otherwise. Whatever its form, the report must present a plan of action that deals with the objective aspects of the institutional processes and the subjective aspects of institutional employees. In some ways the report promotes the Delphi approach of charting the institutional future by progressively narrowing the zone of disagreement in order to achieve concensus and incorporating the validities of different opinions.

The Management Systems Inventory report is a working document. It provides the institution with a programmatic balance sheet which must be constantly referred to in daily operations. It must therefore not only be on the agenda of all important meetings but also constitute a unifying force to the members of the college community.

The following report is an example of the type of analysis that is possible through the use of the Management Systems Inventory as a management tool. This report was made to the president

of an actual institution. The name of the institution and any specific identifying references have been deleted to protect the confidentiality of the report.

I. OVERALL PERSPECTIVE

A. OBJECTIVES

Among all of the components surveyed, the following goals were uniformly identified:

1) Serving disadvantaged students;

2) Becoming a multi-racial institution.

However, individual components specified other goals which identified a lack of commonality of understanding within the institution. These were:

1) Preparing students for graduate and professional work;

2) Providing teacher education;

3) Serving the community in the county.

One respondent believed that the goal of the institution appeared to be simply to satisfy the regulations of the State!

Two conclusions seem to emerge from the response to the critical question on objectives of the institution:

1) Lack of uniform perception of institutional goals by major components;

2) Lack of development of sub-goals by the components to tie them in with the institutional goals.

The latter observation was also reinforced by the components as they listed objectives of their divisions. One division stated that there were no specific goals and that the division dealt with problems as they arose. Another defined the objective in the generic term of 'coordinating educational demands'. Yet another responded by saying that the objective was 'to be responsible for every phase of student life'.

Equally important was lack of evidence from the responses as to whether a strategy for goals implementation was either developed or communicated uniformly to the major segments of the institution. The questions of which goals had priority, what resources and manpower were needed for implementation, what time frame was realistic and who would be doing what for implementation were unanswered.

Part of the problem stems from the fact that goals were not translated into specific tasks which would be assigned and properly understood. For example, the goal of serving disadvantaged students can be interpreted differently by different divisions unless the parameters are clearly indentified and set. The key questions are: (a) what is the institutional definition of disadvantaged students; (b) what is needed to serve them; and (c) how is the institution to know, year after year, about the accomplishment of this purpose? Therefore, unless this goal were to be translated into the activities listed below, it would be impossible to assign responsibility of goal implementation to the various decision-action units of the college; neither would there be an opportunity

to evaluate the results at the year-end and, consequently, the goal would remain a statement.

1) 5% reduction in drop-out rate over the next academic year;

2) 10% increase in financial aid;

3) 2% increase in compensatory programs;

4) x% improvement in aggregate standardized test;

5) 7% increase in the proportion of students placed in their professional majors;

6) a combination of these and other factors.

B. MOST CRUCIAL PROBLEMS

The divergence in goals perception and implementation was also reflected in the responses to the question of the most critical problems faced by the institution. The problems listed most frequently by respondents were as follows:

1) Line of authority and responsibility;

2) Internal communication and coordination;

3) Funds.

Leaving aside the problem of funds for the moment, the first two, if they exist, either in reality or in the perception of reality, could be a major deflator of the institution's potentials. While the responses to questions in other sections of the survey revealed an overall existence of job descriptions and adequacy of internal communications, these apparently were not enough to obviate the above. It is not an uncommon experience among institutions of higher learning that within the specific area of common-

ality of understanding about the role and scope of various functions, form often exists devoid of content. For example, an examination of the agenda and minutes of executive council meetings, faculty meetings, curricula planning meetings, etc., would reveal a greater focus on current problems as compared to that required for the evaluation of which specific goals have been realized. The institution, therefore, needs to evaluate the perception of key officers regarding their involvement in achieving institutional objectives.

The following significant issues raised by the President, could well become objectives with varying priorities:

1) Faculty productivity;
2) Innovative educational technology;
3) Student motivation without frustration;
4) Racial harmony on campus and with the community;
5) Increase productivity and support personnel.

According to the respondent from the academic affairs division, however, the most critical problems were related to faculty advisement, retention and recruitment of young scholars and the advent of unionization. The apparent disparity in the perception of major problems between the President and the academic affairs head could diffuse the focus on their timely resolution.

Even though there was belief on the part of the President that the college had developed a consensus on goals and that most goals had been achieved (except for those in the areas of educa-

tional innovation and cost reduction), this belief was not uniformly shared by the component heads.

There also appeared to be an imbalance between the critical issues facing the institution and the goals of the institution. At least in part, goals should stem from the major issues.

II. PLANNING

Most respondents stated that the College's long-range plan was under revision but it was not clear from the responses the extent to which components were either aware of the nature of the revision or the extent of their participation. The academic affairs component head stated that there is no long-range plan for that component. It was also apparent that most respondents saw long-range planning more as dealing with physical expansion rather than comprehensive institutional direction for the foreseeable future. There should be a strong bond between the goals and objectives of the institution and the long-range planning. In fact, planning could very well be the mechanism for the actual translation of the goals of the institution into concrete activities.

III. ORGANIZATION

There appeared to be several organizational problems. They centered around the following:

1) Need for a more precise definition of the role and

scope of each component in its relationship with the institution and other components;

2) Need for a more precise sharing of responsibilities by the components for implementing these segments of goals that fall under their purview;

3) Need for a more precise pulling together of the fragments into a timetable of execution to achieve proper dove-tailing of multiplicity of activities required for goals realization;

4) Need for a more precise evaluation of institutional progress against the stated objectives coordinated with training and development of personnel at primary levels. The personnel evaluation is to be based on a dual consideration of effectiveness of the individual in his function as well as his ability to relate his function to the total institutional effort;

5) Need for a more precise understanding of the institutional "rules of the game" or style of management. Responses to the question about the perception of institutional style of management ranged from democratic to autocratic. While it is not easy to develop a commonality of understanding regarding this because of the subjectivity of individual positions within the institutional hierarchy, strong efforts need to be made to do so. For example, if the institution has an open-door policy, it is important to know how many people have taken advantage of it and with what results. The institutional climate should be as free of fear and caprice as possible.

IV. COMMUNICATIONS

Responses in this category reveal that both internal and external communications exist but the channels are unclear. There appears to be a need for more precise understanding of who needs to know what, from whom, in what time frame, and for what purpose. Data seem to be floating within the institution without the full benefit of analysis of what they mean in action terms. A list of

current internal and external reports should be critically examined to determine the frequency and types of reports. Wherever the reports are duplicating data, or are infrequently used, or do not convey analytical information, they should either be suspended or greatly modified. The revised reports should become agenda items for various institutional and departmental meetings.

V. RESOURCES

While there appeared to be a consensus regarding the procedure for allocating resources, there was no meeting of the minds on the areas of critical resource shortage. A sample of the range of differences in responses is given below:

1) Compensatory education;

2) Capital facilities, accountability in administration, curricula updating;

3) Faculty in graduate school;

4) Space;

5) Student aid.

It is apparent that such a range could be a result of the lack of commonality of understanding about institutional focus on goals in program terms. The President stated that a management system for improvement in resource management was under development.

VI. FEEDBACK AND EVALUATION

Respondents seem to indicate that with the exception of the

President, very few people in the organization appear to know the state of the institution at any given point in time. It is not always easy to share this information, but without the sharing, necessary action may not be triggered in time in the appropriate offices. Feedback and evaluation are just as important as goal setting and implementation. However, often in the pressure of on-going activities, sufficient attention does not get allocated to this effort.

VII. CONCLUSION

On the whole it is apparent that the college has a lot going for it under the leadership of its distinguished President and its capable, determined team. This report has purposely highlighted some of the impediments that may be slowing down the already remarkable record of achievement. But then, that's the purpose of an exception report!! The exception is recapped below for prompt executive review and coordinated action:

Objectives

1) Lack of uniform perception of institutional goals by major components;

2) Lack of development of sub-goals by the components to achieve institutional goals;

3) Lack of consensus about the most critical problems facing the institution;

4) Evidence of imbalance between the critical issues facing the institution and the goals of the institution;

Planning

5) Long-range planning perceived more as dealing with physical expansion rather than with comprehensive, institutional directions for the foreseeable future;

Organization

6) Lack of a more precise definition of the role and scope of each component in its relationship with the institution and other components;

7) Lack of a more precise sharing of responsibilities by the components for implementing those segments of goals that fall under their purview;

8) Lack of a timetable for tasks to be completed for implementation of goals;

9) Lack of institutional evaluation of progress against stated objectives;

Communications

10) Need to define channels of communication;

11) Need to develop a list of internal and external communications;

Feedback and Evaluation

12) Need to develop a management report rather than just a statistical report;

13) Need for training and development of personnel at primary level.

VIII. PLAN-OF-ACTION

(next twelve months)

This Plan-of-Action, based on the analyses of the Inventory, is recommended by the Phelps-Stokes Fund for the College's implementation.

A) Setting Objectives and Planning

The primary task that needs a much greater level of specificity is setting institutional goals and translating them into a series of discreet activities. This task should be undertaken by the executive team of the College consisting of the President and four divisional heads -- academic affairs, student affairs, research and development, and business and finance.

The objectives should be listed as those required and those desirable (which can be postponed if necessary). To the extent possible, interrelationships among and between required objectives should be established after a thorough discussion of what each objective means in operational terms. This process is extremely important in developing a commonality of understanding about the goals and what it would take to make them a reality over a predetermined period of time. Goals should be set by the Executive Council of the President and ready for adoption by the Board at its March meeting. The next three months would be used for translating the goals into specific tasks to be implemented during FY 1975 beginning July 1, 1974.

B) The activities need to be identified along with the goals for:

1) Instruction;
2) Research;
3) Public service;
4) Academic support;

5) Student support;

6) Institution-wide support.

[MDP can assist in developing a framework in which activities identification can be facilitated down to the departmental and unit levels. Such an arrangement would bring purpose to the daily chores and eliminate or reduce those that do not contribute significantly to the organization.]

C. Organization

The organization should be readjusted to better allign the specific activities required for accomplishment of goals, for example, according to one respondent the College had a troika system of deans rather than one academic dean.

Responsibility for this assignment should be in the President's office. He may consult with various individuals in the organization, however, he has the final authority and responsibility to determine what reorganizational realignment is required to get the job done.

To minimize the "political" ramifications that reorganization often generates, the President should be prepared to provide a rationale for each specific change, as well as what that change would do to the total effort. Reorganization should not be confused with either promotions or salary increases. It should be based on proper alignment of people with tasks. This effort is to identify the activities required to implement goals, group them

by departments, and list individual assignments with completion dates.

Job descriptions should be revised to reflect functional responsibilities inherent in conducting activities.

A comprehensive PERT-type calendar needs to be developed to assure the realization of goals according to the College's strategy. Position and responsibility descriptions are developed to coincide with individual assignments.

[MDP can assist the college in developing linkages within specific time frames between sub-tasks required to achieve goals. The network becomes an invaluable tool to monitor progress against the long-range plan.]

D. Communications

A list of internal and external reports needs to be prepared to critically evaluate duplication, circulation and analytical value of information flow. This flow would probably require substantive modification to make it a tool to know what is happening to the institution at all times, before the fact rather than after.

This assignment should be given to the office of institutional research. [MDP can develop for the College reporting formats designed to provide management reports from quantitative data.]

The total team of the college needs to be monitored and tested to assure that a commonality of understanding is developed on the objectives of the institution, the strategy to implement the ob-

jectives, and the tools that would be used for evaluation. The President can do this every quarter as well as during executive meetings.

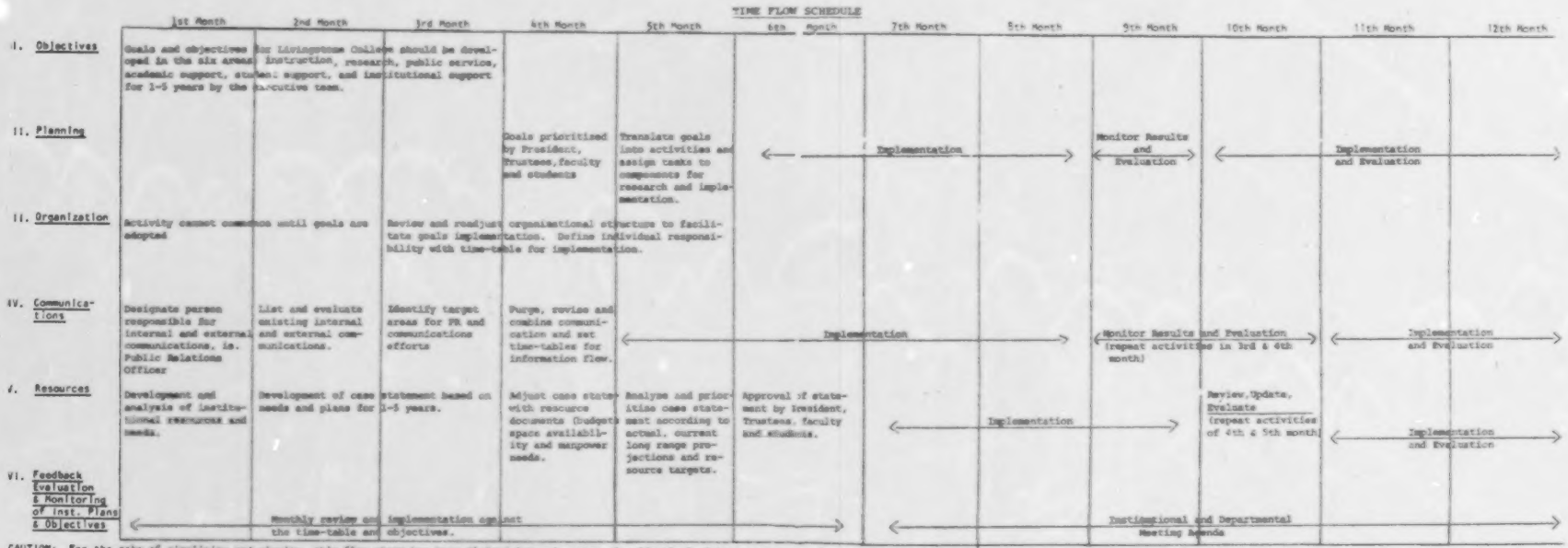
E. Resources

A number of resource documents such as departmental budgets, space availability, and manpower needs that would pull together different data into component interrelationships, needs to be developed. [MDP can assist in developing management documents that deal not just with data but with data for relevant institutional interrelationships.]

F. Feedback and Evaluation

In order to have sufficient knowledge throughout the institution regarding the process towards achieving objectives, it is important that the agenda of all of the institutional and departmental meetings include an evaluation of implementation against the established timetable. One of the advantages of such a technique is to keep the meetings oriented towards correcting the exceptions to the plan. The participants in the meetings should be provided with quantitative summary progress reports which would become an integral part of the institution's information system.

The Phelps-Stokes Fund recommends the attached timetable for commencing the Plan described above.


TIME FLOW SCHEDULE
1st Month
2nd Month
3rd Month
4th Month
5th Month
6th Month
7th Month
8th Month
9th Month
10th Month
11th Month
12th Month
I. Objectives
Goals and objectives for Livingstone College should be developed in the six areas: instruction, research, public service, academic support, student support, and institutional support for 1-5 years by the executive team.
II. Planning
Goals prioritized by President, Trustees, faculty and students
Translate goals into activities and assign tasks to components for research and implementation.
Implementation
Monitor Results and Evaluation
Implementation and Evaluation
II. Organization
Activity cannot commence until goals are adopted
Review and readjust organizational structure to facilitate goals implementation. Define individual responsibility with time-table for implementation.
IV. Communications
Designate person responsible for internal and external communications, ie. Public Relations Officer
List and evaluate existing internal and external communications.
Identify target areas for PR and communications efforts
Purge, revise and combine communication and set time-tables for information flow.
Implementation
Monitor Results and Evaluation (repeat activities in 3rd & 4th month)
Implementation and Evaluation
V. Resources
Development and analysis of institutional resources and needs.
Development of case statement based on needs and plans for 1-5 years.
Adjust case statement with resource documents (budgets, space availability and manpower needs.
Analyze and prioritize case statement according to actual, current long range projections and resource targets.
Approval of statement by President, Trustees, faculty and students.
Implementation
Review, Update, Evaluate (repeat activities of 4th & 5th month)
Implementation and Evaluation
VI. Feedback Evaluation & Monitoring of Inst. Plans & Objectives
Monthly review and implementation against the time-table and objectives.
Institutional and Departmental Meeting Agenda

CAUTION: For the sake of simplicity and clarity, this flow chart has been divided into six categories identical with the categories in the inventory. However the institution should proceed to implement the proposed Plan of Action for the six categories concurrently as these relate to the totality of the institution.

Chapter V: Conclusion

The Management Systems Inventory has been proven to be an effective tool through its application, so far, to sixty-one colleges and universities. In addition to helping an institution to take a comprehensive internal look at itself, it forces individuals within the institution to respond to substantive questions in specific detail. When the answers to the Inventory questions are available, they reveal harmony or disparity of institutional thrust as well as its appropriateness within the current environmental constraints. Where the answers are unavailable, that in itself is revealed as an important part of the problem. The unavailable response is valid, because there is nothing in the Inventory that the institution does not need to know as a matter of basic information. Failure to know, in most instances, demonstrates the tenuous nature of decisions that must be made daily and on which the institutional future invariably rests. The Management Systems Inventory deals with both the foundation and structure of institutional enterprise. Either these are perceived with clarity, uniformity and understanding or these become prerequisites for achievement of institutional goals.

The instrument also deals with the phenomena of what is known, and what that means to individuals so that personal interpretations

are made sufficiently visible to permit everyone in the institution to operate with the same data and a common perception of that data. The instrument thus, helps to pull together an institutional profile that everyone can perceive collectively and constantly help modify to what it ought to be.

The comprehensiveness of the instrument has distinct advantages. First, it assures the involvement of major segments of the institution in responding to it. Second, it uncovers those areas of divisional inter-relationships not easily visible. Third, it tests the grasp of knowledge of the individuals relative to their own operations and their contribution to the institution. Fourth, it helps the institution identify "blind spots". Fifth, it encourages development of organizational strategies based on objective as well as subjective information. Sixth, it becomes a reference point for gauging progress against the pre-determined action plan. Seventh, it incorporates the evaluative process that is designed for corrective action.

A recent survey by Peter Drucker comparing the Japanese and American systems of management revealed the following important distinction. The decision (solution) under the American system is defined when the action is taken on a given problem. In the Japanese system, on the other hand, the decision occurs when a problem has been properly defined. Drucker hypothesizes that partly

as a result of this distinction, the American system encourages the managers to "solve" a lot of little problems, while under the Japanese approach, attention is focused on the major ones. The Inventory, in the above context, is a series of probings to define the major issues facing the institution, be they related to the objective facts or subjective perceptions. Such probings might take away some executive time required for solving the multiple issues staring at him from the "in basket", but hopefully would better equip him and the organization to define and resolve the major problems on which, ultimately, the institutional destiny must rest.

APPENDIX

DOCUMENT # 1

INSTITUTIONAL PROFILE

DOCUMENT #1

PHELPS-STOKES FUND
MANAGEMENT SYSTEMS INVENTORY

INSTITUTIONAL PROFILE

1. Name of Institution: _____(.)

2. Location:

   2.1 City _____ 2.2 Population _____

   2.3 State _____ 2.4 Zip Code _____

3. Founding Date of Institution: _____

4. Sponsorship or Affiliation: _____

5. Type: (check one)

   5.1 Pri. Non-Religious Jr. Col.____ 5,4 Pri. Non-Rel 4 Yr. Inst. _____

   5.2 Pri. Religious Jr. College ____ 5.5 Pri Religious 4 Yr. Inst._____

   5.3 Public Jr. College ____ 5.6 Public 4 Yr. Inst. _____

6. Accreditation:

	Yes	No	Type
6.1 National:			
6.2 Regional:			
6.3 State			
6.4 Other:			

7. Student Enrollment: (current)

	Male	Female	Total
7.1	Part-time _____Full-time__	P.T. _____ F.T. _____	P.T. _____ F.T.____
7.2	Total _____	Total _____	_____
7.3	Foreign_____	Foreign _____	_____
7.4	Boarders	Boarders	

8. Faculty: (instructional only)

	Male	Female	Total
8.1	Part-time ____Full-time___	P.T. _____ F.T.____	P.T. _____ F.T. ____
8.2	Total	Total	Total

9. Trustees:

   9.1 Total Number: _____

   9.2 Length of Term: _____

   9.3 Special Requirements for Appointment (if any)

   _____

   _____

DOCUMENT #1

INSTITUTIONAL PROFILE

10. Administrative Staff: (including chief officers for: Academic Affairs Student Services, Business Management and Fiscal Affairs, Development and Institutional Relations, principal faculty representative and Student Government Representative)

	Title	Name
10.1		
10.2		
10.3		
10.4		
10.5		
10.6		
10.7		
10.8		
10.9		

11. Degrees Granted:

	Type	Total # in 19__	Total # in 19__	Total # in 19__
11.1				
11.2				
11.3				
11.4				
11.5				
11.6				

12. Cost (per student) per annual year:

12.1 Tuition and Fees

12.11 $ _____ for Private Institution

12.12 $ _____ in district (for Jr. College)

12.13 $ _____ out of district(for Jr. Col.)

12.14 $ _____ out of state (for Pub. inst.)

12.15 $ _____ in state (for public inst.)

12.2 Room and Board $ _____

13. Institutional Financial Assistance to Students (other than gov't grants):

13.1 Scholarships: Total # _____ Total Dollar Amount $ _____

13.2 Loans: Total # _____ Total Dollar Amount $ _____

INSTITUTIONAL PROFILE

13.3 Student Employment: Total # of slots _____ Average wage per hr._____

14. Government Financial Assistance to Students:

14.1 Loans: Total # _____ Total Dollar Amount:$_____

14.2 Special Grants: Total # _____Total Dollar Amount:$ _____

14.3 College Work Study Program: Total # of slots ____Av.wage per hr.___

15. Library Volumes:

15.1 Total # of books _____

15.2 Total # of periodical subscriptions _____

16. Alumni:

16.1 Total # living graduates: _____

16.2 # or percentage who give annually _____

16.3 Average amount given yearly: $ _____(by individual Alumni donors)

17. Finances and Assets:

17.1 Plant value: $ _____

17.2 Endowment: $ _____

17.3 What percentage of operating income is derived from:

17.31 _____ % Tuition and Fees

17.32 _____ % Grants

17.33 _____ % Gifts

17.34 _____ % Endowment Income

17.35 _____ % Other:

18. Capital Expansion:

18.1 Total Capital Expansion since June $ _____

18.2 Estimated capital needs for: (in terms of inst.'s long range plan)

18.21 $ _____ Endowment

18.22 $ _____ Building and Grounds

18.23 $ _____ Other

18.24 $ _____ Total

DOCUMENT # 2

DOCUMENT CHECKLIST

DOCUMENT # 2

PHELPS-STOKES FUND
MANAGEMENT SYSTEMS INVENTORY

DOCUMENT CHECKLIST

Campus Coordinator _____ Title _____

Liason Office _____ Institution _____

Survey Team _____ ( ) _____

	Document Requested	1 Does such exist	Is Doc being devlp	Title of Document	2 Date of last revisn	Has Doc. rec'd	#Doc Rec'd	Comments
1	School Catalog							
2	Student Handbook							
3	Faculty Handbook							
4	Institutional Self-Study (Summary)							
5	Progress report (most recent since self-study)							
6	Institutional Case Statement							
7	Charter Statement or Enabling Legislation							
8	By-Laws or similar doc.							
9	Annual Report (recent)							
10	Long Range Plan for:							
	10.1 Institution							
	10.2 Academic Affairs							
	10.3 Student Services							
	10.4 Business Mgt. and Fiscal Affairs							
	10.5 Development and Inst. Relations							
	10.6 Other:							

DOCUMENT CHECKLIST

	DOCUMENT REQUESTED	Does such a doc exist	Is doc being dev'lp	Title of Document	Date of last revision	Has doc been recd	# of doc recd	Comments
11	Operating Policy and Procedure Manuals for							
	11.1 Institution							
	11.2 Academic Affairs							
	11.3 Student Services							
	11.4 Business Mangt and Fiscal Affairs							
	11.5 Development and Inst. Relations							
	11.6 Other:							
12	Organization Chart for:							
	12.1 Institution							
	12.2 Academic Affairs							
	12.3 Student Services							
	12.4 Business Mgt. and Fiscal Affairs							
	12.5 Development and Inst. Relations							
	12.6 Other:							
13	Manning Table by Job Category For:							
	13.1 Non-Acad. Personnel							
	13.2 Academic Personnel							
	13.3 Teaching Load Analysis							

INSTITUTIONAL DOCUMENT
CHECKLIST

	Document Requested	Does such exist	Is doc being devlp	Title of Document	Date of last revisn	Has doc recd	# doc recd	Comments
14	Job Descriptions for:							
	14.1 Non-Acad. Personnel							
	14.2 Academic Personnel							
15	Personnel Manual							
16	Employee Benefit Informt.							
17	Application for Empl. for:							
	17.1 Non Acad. Personnel							
	17.2 Academic Personnel							
18	Personnel Performance Appraisal (incl. Merit Review Forms) for:							
	18.1 Non-Acad. Personnel							
	18.2 Academic Personnel							
	18.21 Departmental Evaluation Form							
	18.22 Student Evaluation Form							
19	Grading Procedures							
20	Curriculum Manual							
21	Counseling Services Manual							
22	Student Government Documents:							
	22.1 Constitution and By-Laws							
	22.2 Organization Chart							
	22.3 Other:							

DOCUMENT CHECKLIST

	DOCUMENT REQUESTED	Does such doc exist	Is doc being developed	TITLE OF DOCUMENT	Date of last revisn	Has doc been recd	# of docs recd	COMMENTS
23	Financial Statement Most Recent							
24	Chart of Accounts							
25	Institutional Budget Planning Procedures							
26	Budget Summary							
27	Budget By Department:							
	27.1 Academic Affairs							
	27.2 Student Services							
	27.3 Business Management and Fiscal Affairs							
	27.4 Development and Institut'nl Relation							
	27.5 Other:							
28	Samples of Internal Communication							
	28.1 School Newspapers							
	28.2 Newsletters							
	28.3 AAUP Report							
	28.4 Other Reports							
29	Public Relations Publications to:							
	29.1 Alumni							
	29.2 Prospective Students							
	29.3 External Community							
	29.4 Other:							

DOCUMENT CHECKLIST

	DOCUMENT REQUESTED	Does such doc exist	Is doc being devel-oped	TITLE OF DOCUMENT	Date of last revisn	Has doc been recd	# of docs recd	COMMENTS
30	Fund-raising Program Plans for:							
	30.1 Alumni							
	30.2 Community							
	30.3 Foundations							
	30.4 Corporations							
	30.5 Federal Gov't							
	30.6 Other							
31	Samples of Fund-raising Appeals							
32	Other Institutional Documents (Additional documentation inst. would like to submit)							

DOCUMENT # 3

INSTITUTIONAL OVERVIEW: PRESIDENT, INSTITUTIONAL SUPPORTER AND CRITIC
QUESTIONAIRE

PHELPS-STOKES FUND

Document #3

MANAGEMENT SYSTEMS INVENTORY

INSTITUTIONAL OVERVIEW - PRESIDENT, INSTITUTIONAL SUPPORTER, AND CRITIC

Interviewee _____ Title _____ Since ___/___/___

Interviewer _____ Recorder _____ Date ___/___/___

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1.	Describe the present institutional goals and objectives. How successful has the institution been in realizing these goals and objectives?
2.	How do you perceive the unique role of this institution as opposed to that of other institutions of higher education?
3.	Are there any historical factors which have affected present-day management? Are there any environmental factors affecting management today?

A. GENERAL INFORMATION (CONT'D)

4. In terms of overall management, what would you say are the 5 most crucial problems facing the institution?

BEGINNING OF INTERVIEW

4.1	
4.2	
4.3	
4.4	
4.5	

END OF INTERVIEW

4.11	
4.22	
4.33	
4.44	
4.55	

B. INSTITUTIONAL PLANNING

5. Does the institution have a specific, long-range plan? YES (Y)_____ NO (N)_____ UNSURE (U)_____

a. If YES: Please describe.

Is there a procedure for reviewing and revising the plan? Describe. Y_____ N_____ U_____

Do these procedures involve faculty and student participation in the planning process? Y_____ N_____ U_____

Are there any special conditions which have recently affected the implementation of the plan? Explain. Y_____ N_____ U_____

b. If NO: Is one planned? Y_____ N_____ U_____

6. Is there a procedure designed for continual improvement in institutional planning? Please describe. Y_____ N_____ U_____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

7. Is there an organization chart for the institution? Y_____ N_____ U_____

8. Is each component required to have one? Y_____ N_____ U_____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

9.	Are written job descriptions required for:	
9.1	Administrative Personnel (incl. clerical, secretarial)?	Y____ N____ U____
9.2	Faculty?	Y____ N____ U____
9.3	Support Services Personnel (incl. maintenance, security)?	Y____ N____ U____
10.	Do job descriptions define the extent of delegated authority and coordination between jobs?	Y____ N____ U____
11.	Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary?	Y____ N____ U____
12.	Is there a procedure for training subordinates for executive advancement and organizational continuity?	Y____ N____ U____
a.	If YES: Describe procedure.	
13.	Is there a procedure designed to generate and coordinate faculty and student participation in institutional governance?	Y____ N____ U____
a.	If YES: Describe procedure.	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

14. Is there a procedure designed to generate and coordinate faculty and student participation in institutional management? Y____ N____ U____

a. If YES: Describe procedure.

15. Before final decisions are made concerning the affairs of each component, is the agreement of student and faculty representatives sought? Y____ N____ U____

16. To what external authorities is the institution accountable?

16.1	Religious Bodies: _____	Is this a problem?_____
16.2	State Agencies: _____	Is this a problem?_____
16.3	Federal Agencies: _____	Is this a problem?_____
16.4	Educational Accrediting Agencies: _____	Is this a problem?_____
16.5	Other: _____	Is this a problem?_____

17. Are there procedures for:

17.1	Recruitment and selection of personnel (faculty and non-faculty)?	Y____ N____ U____
17.2	Orientation of new personnel?	Y____ N____ U____
17.3	Training and development of personnel?	Y____ N____ U____
17.4	Appraisal of personnel performance?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

17. (Continued)

a. Who is responsible for these functions?

b. Are such procedures written?

18. What is the procedure for appointment of the administrative officer for each component? (including President)

19. Is there a special procedure designed to develop cooperative working relationships among management and support staff? Y_____ N_____ U_____

a. If YES: Describe.

20. How would you characterize the prevailing institutional approach to management (democratic, autocratic, laissez-faire, team approach, etc.)? Why is it this way?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

21. Does the institution have a written financial and physical Development Plan? Y____ N____ U____

Do you have a Development Office? Y____ N____ U____

Comments:

a. If YES: Describe the methods used in the Development Program.

b. If NO: Is one planned? Y____ N____ U____

22. Is there a procedure designed to provide for continual improvement in Organization: Governance and Management?

D. RESOURCES

23. Is there a procedure for organizing and allocating resources (space, equipment, people, money, etc.)? Y____ N____ U____

a. If YES: Describe procedure.

24. Is it implemented in terms of established priorities? Y____ N____ U____

D. RESOURCES (CONT'D)

25. In which resource area(s) is a shortage most critical?

26. Is there a procedure designed to provide for continual improvement in Resource Management? Y____ N____ U____

Please describe.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

27. Is there a procedure for generating and coordinating internal institutional communication? Y____ N____ U____

a. If YES: Describe procedure.

28. What forms of communication automatically flow from the President's office to the internal community?

Subject Area	Form or Title	Recipient	How Often

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION (CONT'D)

29. What channels of communication does the institution provide in the following areas:

29.1 Student - Student: _____

29.2 Faculty - Faculty: _____

29.3 Administration - Administration: _____

29.4 Student - Administration: _____

29.5 Student - Faculty: _____

29.6 Faculty - Administration: _____

30. Does the communications network actually reach appropriate sectors of the internal community?

INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION

31. Explain what comprises the institution's external community.

32. Is there a policy or a procedure for generating and coordinating institutional communication with the external community? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION (CONT'D)

33. What forms of communication automatically flow from the institution to the external community?

Subject Area	Form or Title	Recipient	How Often

34. Have public relations efforts resulted in a positive relationship between the institution and the external community? Y____ N____ U____

a. What could be done to improve public relations with the external community?

35. Is there a procedure designed to provide for continual improvement in Information Out-Flow: Internal and External? Y____ N____ U____

Please Describe.

F. FEEDBACK AND EVALUATION

36. Is there a reporting procedure designed to give decision makers the necessary data for making decisions? Y____ N____ U____

a. If YES: Describe procedure.

37. Does the amount, extent and reporting of feedback give the decision makers of the institution an accurate picture of what is really happening? Y____ N____ U____

38. Is there a procedure for evaluating the performance of the institution in:

a. Realizing its objectives? Y____ N____ U____

Describe procedure.

b. Carrying out of staff responsibilities? Y____ N____ U____

Describe procedure.

39. Is there a procedure designed to provide for continual improvement in Feedback? Y____ N____ U____

Describe procedure.

G. CONCLUSION

40. What, if any, outside consultant assistance is the institution presently receiving (overall institutional activities)?

41. How would you characterize the overall educational climate or environment of the institution?

42. In terms of overall management, what would you say are the greatest strengths of the institution?

43. What kinds of problems or activities take up most of the President's time?

Is this a problem area?

G. CONCLUSION (CONT'D)

44.	Repeat question 4, page 2.
45.	What steps should the institution take towards solving any of these problems?
46.	In general, what would you say are the management needs of the future at this institution?
47.	Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 4

NON-INSTITUTIONAL SUPPORTER AND CRITIC
QUESTIONAIRE

PHELPS-STOKES FUND Document 4

MANAGEMENT SYSTEMS INVENTORY

NON-INSTITUTIONAL SUPPORTER AND CRITIC

Interviewee _____ Address _____ Since __/__/__

Interviewer _____ Recorder _____ Date __/__/__

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1. Please describe your relationship to the institution.

2. Describe the present institutional goals and objectives.

How successful has the institution been in realizing these goals and objectives?

A. GENERAL INFORMATION (CONT'D)

3. How do you perceive the unique role of this institution as opposed to that of other institutions of higher education?

4. Are there any historical factors which have affected present-day management?

Are there any environmental factors affecting management today?

5. In terms of overall management, what would you say are the 5 most crucial problems facing the institution?

BEGINNING OF INTERVIEW

5.1	
5.2	
5.3	
5.4	
5.5	

A. GENERAL INFORMATION (CONT'D)

END OF INTERVIEW

5.11

5.22

5.33

5.44

5.55

B. INSTITUTIONAL PLANNING

6. Does the institution have a specific, long-range plan? YES (Y)____ NO (N)____ UNSURE (U)____

a. If YES: Please describe the plan.

In what areas are established objectives of the plan being met?

B. INSTITUTIONAL PLANNING (CONT'D)

Has a procedure been designed to coordinate the efforts of all institutional components in realizing the established objectives? Y____ N____ U____

If YES: Please describe.

Are there any special conditions which have recently affected the implementation of the plan? Please explain. Y____ N____ U____

b) If NO: Is one planned? Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

7. Are the financial affairs of the institution being adequately managed? Y____ N____ U____

Comments:

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

8. To what external authorities is the institution accountable?

8.1	Religious Bodies: _____	Is this a problem? _____
8.2	State Agencies: _____	Is this a problem? _____
8.3	Federal Agencies: _____	Is this a problem? _____
8.4	Educational Accrediting Agencies: _____	Is this a problem? _____
8.5	Other: _____	Is this a problem? _____

9. Does the institution have a written financial and physical Development Plan? Y___ N___ U___

a) If YES: Describe the methods used in the Development Program.

b) If NO: Is one planned? Y___ N___ U___

10. How would you characterize the prevailing institutional approach to management (democratic, autocratic, laissez-faire, team approach, etc.)?

Why is it this way?

D. RESOURCES

11. In which resource area (s) is a shortage most critical? (space, equipment, people, money, etc.)

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION

12. What comprises the institution's external community?

13. Is there a procedure for generating and coordinating institutional communication with the external community?

Y____ N____ U____

a) If YES: Please describe:

b) If NO: Is one planned?

Y____ N____ U____

14. What are the objectives of the community as it relates to the institution?

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION (CONT'D)

15. Has the institution established any programs or developed research mechanisms in response to community needs and interests? Y____ N____ U____

a. If YES: Please describe:

16. What forms of communication automatically flow from the institution to the external community?

Subject Area	Form or Title	Recipient	How Often

17. Have public relations efforts resulted in a positive relationship between the institution and the external community? Y____ N____ U____

a. What could be done to improve relations with the external community?

F. FEEDBACK AND EVALUATION

18. Is there adequate feedback from the community to the institution? Y___ N___ U___

Comment:

19. Do you think the amount of feedback gives institutional decision makers an accurate picture of community needs and expectations? Y___ N___ U___

20. Is there a procedure designed for continual improvement in the various operations of the institution? Y___ N___ U___

a) If YES: Please describe:

G. CONCLUSION

21. How would you characterize the overall educational climate or environment of the institution?

G. CONCLUSION (CONT'D)

22.	In terms of overall management, what would you say are the greatest strengths of the institution?
23.	Repeat question 5, page 3 (END OF INTERVIEW).
24.	What steps should the institution take towards solving any of these problems?
25.	In general, what would you say are the management needs of the future at this institution?

G. CONCLUSION (CONT'D)

26. Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 5

INSTITUTIONAL OVERVIEW: TRUSTEE QUESTIONAIRE

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PHELPS-STOKES FUND

MANAGEMENT SYSTEMS INVENTORY

INSTITUTIONAL OVERVIEW - TRUSTEE

Document 5

Interviewee _____ Address _____

Position on Board _____ Since __/ __/ __/

Interviewer _____ Recorder _____ Date __/ __/ __/

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1.	Describe the present institutional goals and objectives. How successful has the institution been in realizing these goals and objectives?
2.	Are there any historical factors which have affected present day management? Are any environmental factors affecting management today?
3.	As a representative of the Board of Trustees, please explain how the Board perceives its functions. Is the role of the Board changing in response to new developments in the field of education? In what ways?

-101-

A. GENERAL INFORMATION (CONT'D)

4. Does a Trustee Manual exist? YES (Y) ___ NO (N) ___ UNSURE (U) ___

a) If NO, is one being prepared?

b) If YES: Does the manual acquaint Board Members with how the institution functions? Y___ N___ U___

Does the manual define the Trustee's role and responsibilities in relation to the institution? Y___ N___ U___

Does the manual clearly state the objectives of the Board? Y___ N___ U___

Do you have any comments on the manual?

5. Has the Board made a study of how they are fulfilling their role as Trustees? Y___ N___ U___

a) If NO, is one planned? Y___ N___ U___

b) If YES, is it written?

What document?

Does this study examine the Board's effectiveness? Y___ N___ U___

Does the study include plans for the Board's future directions? Y___ N___ U___

Additional comments:

A. GENERAL INFORMATION (CONT'D)

6. Does the Board have a procedure for developing institutional plans and policies? Y___ N___ U___

Please describe:

7. Is there a procedure for orientation of new Board Members? Y___ N___ U___

If YES, is it written?

What document?

Please describe.

Is orientation a problem area? Y___ N___ U___

8. What are the criteria for Board Membership?

Is the criteria a problem area?

9. Please describe the composition of the present Board (how many businessmen, clergy, faculty, students, political appointees, etc?)

A. GENERAL INFORMATION (CONT'D)

How often does the Board meet?

10. Is this a sufficient amount of time to accomplish the objectives of the Board?

11. What kinds of information does the Board receive from -

The President:

Institutional components:

Faculty:

Student representatives:

12. Do you feel that this information is adequate for your needs? Y___ N___ U___

If NO, please identify areas where more data is needed.

A. GENERAL INFORMATION (CONT'D)

13. Is there adequate preparation for Board Meetings? Y___ N___ U___

Does the Chairman adequately inform Members of meeting-objectives? Y___ N___ U___

a) If NO, please explain.

b) Do you have any suggestions for improvement?

14. Is the flow of information between the Board and President adequate for setting policies? Y___ N___ U___

a) If NO, please identify problem area.

15. How would you describe the relationship between the Board and

The Administration:

The Faculty:

Students:

Do you have any suggestions for improvement?

A. GENERAL INFORMATION (CONT'D)

16. In terms of overall management, what would you say are the 5 most crucial problems facing the institution?

BEGINNING OF INTERVIEW

16.1

16.2

16.3

16.4

16.5

END OF INTERVIEW

16.11

16.22

16.33

16.44

16.55

B. INSTITUTIONAL PLANNING

17. Does the institution have a specific, long-range plan? Y___ N___ U___

a) If YES, is it written? Y___ N___ U___

If so, in what document?

Have the Trustees been involved in its development Y___ N___ U___

How long a time period does it cover? Y___ N___ U___

Is there any special condition which has recently affected the development of the plan? Explain.

b) If NO, is one being developed? Y___ N___ U___

18. Is there a procedure designed for continual improvement in institutional Planning? Y___ N___ U___
Please describe.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

19. Do you know of a method which ensures faculty and student participation in institutional governance? Y____ N____ U____

a. If YES: Describe method.

b. If NO: Is one being developed? Y____ N____ U____

When will it be implemented?

20. To what external authorities is the institution accountable?

20.1 Religious Bodies:_____ Is this a problem?_____

20.2 State Agencies:_____ Is this a problem?_____

20.3 Federal Agencies:_____ Is this a problem?_____

20.4 Educational Accrediting Agencies:_____ Is this a problem?_____

Comments:

21. How would you characterize the prevailing institutional approach to management? (democratic, autocratic, laissez-faire, team approach, etc.) Why is it this way?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

22. Is there a procedure designed for continual improvement in Organization: Governance and Management? Y____ N____ U____

Please describe.

D. RESOURCE MANAGEMENT

23. In which resource area(s) is a shortage most critical? (equipment, personnel, money, space, time, etc.)

24. Do you feel there are problems in the management of institutional resources? Y____ N____ U____

a) If YES, please identify problem area.

Specifically, are there problems in the effective utilization of:

Human Resources Y____ N____ U____ Additional comments:

Physical Resources Y____ N____ U____

Monetary Resources Y____ N____ U____

Do you have any suggestions for improvement?

D. RESOURCE MANAGEMENT (CONT'D)

25. Is there a procedure designed for continual improvement in Resource Management? Y___ N___ U___
Please describe.

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION

26. Describe what comprises the institution's external community.

27, Do you know if there is a method to ensure the coordination of institutional communication with the external community? Please describe.

28. Have public relations efforts resulted in a positive relationship between the institutions and the external community? Y___ N___ U___

a) If NO,do you have any suggestions on how relations can be improved?

INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

29. Is there adequate decision making data being fed back to decision makers? (Board Members, Administrators, SGA President)

30. Is there a procedure designed for continual improvement in Communications: External and Internal? Please describe. Y___ N___ U___

F. EVALUATION

31. Do you have a set of planning goals (annual and long range) which enable you to measure the progress made by the institution? Y___ N___ U___

a. If YES, can you tell if institution is on schedule in meeting these goals? Y___ N___ U___

Are there ways of knowing if institution is on target in measuring its goals? Y___ N___ U___

32. Is there a method of periodically evaluating the progress the institution is making against specific measurable goals? Please describe. Y___ N___ U___

G. CONCLUSION

33. How do you perceive the uniqueness of this institution as opposed to other institutions of higher education?

34. How would you characterize the overall educational climate or environment of the institution?

35. In terms of overall management, what would you say are the greatest strengths of the institution?

36. What kinds of problems or activities take up most of the Trustees' time?

Is this a problem area?

G. CONCLUSION (CONT'D)

37.	Repeat question 16, page 6.
38.	What steps should the institution take towards solving any of these problems?
39.	In general, what would you say are the management needs of the future at this institution?

G. CONCLUSION (CONT'D)

40. Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 6

INSTITUTIONAL OVERVIEW: DIVISION HEADS AND FACULTY REPRESENTATIVE QUESTIONAIRE

PHELPS-STOKES FUND

MANAGEMENT SYSTEMS INVENTORY

INSTITUTIONAL OVERVIEW: DIVISION HEADS AND FACULTY REPRESENTATIVE

Interviewee _____ Title _____ Since __/__/__/

Interviewer _____ Recorder _____ Date __/__/__/

Institution _____ Length of Interview _____

1.	Describe the present institutional goals and objectives. How successful has the institution been in realizing these goals and objectives?
2.	How do you perceive the unique role of this institution as opposed to that of other institutions of higher education?

Are there any historical factors which have affected present-day management?

Are there any environmental factors affecting management today?

In terms of overall management, what would say are the 5 most crucial problems facing the institution?

4.1 _____

4.2 _____

4.3 _____

4.4 _____

4.5 _____

Does the institution have a specific, long range plan? Yes (Y) ____ No (N) ____ Unsure ____

a. if Yes: Please describe:

Is there a procedure for reviewing and revising the plan? Y ____ N ____ U ____

Do these procedures involve faculty and student participation in the planning process?

Y ____ N ____ U ____

5. (continued)

Are there any special conditions which have recently affected the implementation of the Plan? Explain.

Y ____ N ____ U ____

b. if No: Is one planned? Y ____ N ____ U ____

6. Is there an organization chart for the institution? Y ____ N ____ U ____

7. Is each component required to have one? Y ____ N ____ U ____

8. Are written job descriptions required for Administrative personnel? Y ____ N ____ U ____

9. Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary? Y ____ N ____ U ____

10. What is the procedure for appointment of the administrative officer for each component? (including the President)

11. Is there a special procedure designed to develop cooperative working relationships among management and support staff?

Y ____ N ____ U ____

a. if Yes: Please describe:

12.	How would you characterize the prevailing institutional approach to management (democratic, autocratic, laissez-faire, team approach, etc.)? Why is it this way?
13.	Is there a procedure designed to provide for continual improvement in Organizational Governance and Management? Describe. Y ___ N ___ U ___
14.	Is there a procedure for organizing and allocating resources (space, equipment, people, money, etc.)? Y ___ N ___ U ___ a. if Yes: Describe procedure: b. Is it implemented in terms of established priorities? Y ___ N ___ U ___
15.	In which resource area(s) is a shortage most critical?

16. Is there a procedure for generating and coordinating internal institutional communication? Y ___ N ___ U ___

a. if Yes: Please describe:

17. Have public relations efforts resulted in a positive relationship between the institution and the external community? Y ___ N ___ U ___

a. What could be done to improve public relations with the external community?

18. Is there a reporting procedure designed to give decision makers the necessary data for making decisions? Y ___ N ___ U ___

a. If Yes: Please describe:

19. What kinds of problems or activities take up most of the President's time?

Is this a problem area?

DOCUMENT # 7

ACADEMIC DEAN AND FACULTY REPRESENTATIVE
QUESTIONAIRE

PHELPS-STOKES FUND

MANAGEMENT SYSTEMS INVENTORY

ACADEMIC DEAN AND FACULTY REPRESENTATIVE

Interviewee _____ Title _____ Since __/__/__

Interviewer _____ Recorder _____ Date __/__/__

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1.	Describe the goals and objectives of the Academic Affairs component. How successful is the Academic Affairs component in realizing these goals and objectives?
2.	In what ways do the objectives of Academic Affairs relate to the larger perspective of institutional objectives?
3.	In what ways is the academic program at this institution unique as compared to those of other institutions?

A. GENERAL INFORMATION (CONT'D)

4. In terms of overall management, what would you say are the 5 most crucial problems of the Academic Affairs operation.

BEGINNING OF INTERVIEW

4.1	
4.2	
4.3	
4.4	
4.5	

END OF INTERVIEW

4.11	
4.22	
4.33	
4.44	
4.55	

B. ACADEMIC AFFAIRS PLANNING

5. Does the Academic Affairs component have a specific, long-range plan? YES (Y)____ NO (N)____ UNSURE (U)____

a. If YES: Please describe.

Is there a procedure for rewiewing and revising the plan? Y____ N____ U____

If YES: Describe procedure.

Do these procedures involve faculty and student participation in the planning process? Y____ N____ U____

If YES: Describe how they are represented.

Comments:

Are there any special conditions which have recently affected the implementation of the plan? Explain. Y____ N____ U____

b. If NO: Is one planned? Y____ N____ U____

6. What is the institutional policy regarding academic freedom for faculty and students?

B. ACADEMIC AFFAIRS PLANNING (CONT'D)

7. Is the institutional policy for academic freedom satisfactory to:

7.1	Faculty?	Y____ N____ U____
7.2	Administration?	Y____ N____ U____
7.3	Students?	Y____ N____ U____

Comments:

8. Is there a procedure designed for continual improvement in Academic Affairs planning? Y____ N____ U____

a. If YES: Please describe.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

9. Is there an organization chart for this component? Y____ N____ U____

10. Are written job descriptions required for:

10.1	Administrative Personnel (major officers)?	Y____ N____ U____
10.2	Supportive Personnel (clerical, secretarial)?	Y____ N____ U____
10.3	Faculty?	Y____ N____ U____

11. Do job descriptions define the extent of delegated authority and coordination between jobs? Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

12.	Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary?	Y____ N____ U____
13.	Is turnover of faculty a problem in this component? Comments:	Y____ N____ U____
14.	Is there a procedure for training subordinates for executive advancement and organizational continuity?	Y____ N____ U____
a.	If YES: Please describe.	
15.	Before final decisions are made concerning the affairs of this component, is the advice of student and administrative representatives sought?	Y____ N____ U____
16.	Is there a procedure to involve faculty and students in the management of this component?	Y____ N____ U____
a.	If YES: Please describe.	
17.	Is there a procedure to involve faculty and students in the governance of this component?	Y____ N____ U____
a.	If YES: Please describe.	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

18. Are there staffing procedures for non-faculty personnel in these areas:

18.1	Recruitment and selection of personnel?	Y____ N____ U____
18.2	Orientation of new personnel?	Y____ N____ U____
18.3	Training and development of personnel?	Y____ N____ U____
18.4	Appraisal of personnel performance?	Y____ N____ U____

a. Who is responsible for these functions?

b. Are such procedures written?

19. What is the procedure for appointment of administrative officers for this component?

20. Is there a specific procedure designed to develop cooperative working relationships among management and support staff? Y____ N____ U____

a. If YES: Please describe procedure.

21. Has a specific procedure been designed to coordinate the efforts of the Academic Affairs component with those of other institutional components? Y____ N____ U____

a. If YES: Please describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

22.	How would you characterize the prevailing approach to management within this component (democratic, autocratic, laissez-faire, team approach, etc.)? Why is it this way?
	CURRICULAR PROGRAMS
23.	Is there a procedure for the planning and implementation of curricular programs? Y____ N____ U____
a.	If YES: Please describe procedure.
24.	Have a set of objectives been developed for curricular programs? Y____ N____ U____
25.	What are the criteria upon which the creation of new programs is based?
26.	Are you satisfied that the curriculum is sufficiently balanced to meet the present and future needs of the student body? Y____ N____ U____ Comments:

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

CURRICULAR PROGRAMS

27. Have programs been developed to provide for:

27.1	Student-directed plans of study?	Y____ N____ U____
27.2	Cooperative education?	Y____ N____ U____
27.3	Interdepartmental cooperation?	Y____ N____ U____
27.4	Inter-institutional cooperation? (including non-academic institutions)	Y____ N____ U____

28. Has a study been undertaken to determine curricular needs for present and prospective students? Y____ N____ U____

a. If YES: Please describe.

b. If NO: Is one planned? Y____ N____ U____

29. Does the development and assignment of courses meet requirements of programs and needs of students? Y____ N____ U____

Comments:

30. Are students adequately informed as to course and program offerings? Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

CURRICULAR PROGRAMS

31. Is there a procedure designed for periodic evaluation of program objectives and effectiveness? Y____ N____ U____

a. If YES: Describe procedure.

FACULTY AFFAIRS

32. Is there a procedure for faculty recruitment and selection? Y____ N____ U____

a. If YES: Describe procedure.

33. What are the criteria upon which the selection of faculty is based?

34. Is there a procedure for orientation of new faculty? Y____ N____ U____

a. If YES: Describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

FACULTY AFFAIRS

35. Is there a procedure for analyzing faculty performance? Y____ N____ U____

a. If YES: Describe procedure.

(1) Is the same procedure implemented in all departments? Y____ N____ U____

(2) Once evaluative data is collected, what is done with it?

36. What provisions are made for improvement of teaching and support of instruction?

37. Is there a procedure for faculty promotion? Y____ N____ U____

a. If YES: Describe procedure.

38. Have faculty work-loads been identified and analyzed for:

38.1	Number of teaching hours in terms of degrees?	Y____ N____ U____
38.2	Number of teaching hours in terms of rank?	Y____ N____ U____
38.3	Faculty time spent on advising, research, publication?	Y____ N____ U____
38.4	Qualifications of faculty?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

FACULTY AFFAIRS

39. Have faculty committees been developed to provide for special faculty interests (tenure, promotion, benefits, etc.)? Y____ N____ U____

a. If YES: Are records kept of meetings and recommendations? Y____ N____ U____

Is membership elected or appointed? Explain if necessary. Y____ N____ U____

40. Has a procedure been designed to evaluate the effectiveness of the handling of all faculty concerns? Y____ N____ U____

a. If YES: Describe procedure.

STUDENT AFFAIRS

41. Is there a procedure for student recruitment and selection? Y____ N____ U____

a. If YES: Describe procedure.

b. If NO: Is one planned?

42. What are the criteria upon which student selection is based?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT AFFAIRS

43. Is there a procedure designed for orientation of new students? Y____ N____ U____

a. If YES: Describe procedure.

44. How are standards of student achievement defined?

45. Is the grading procedure satisfactory? Y____ N____ U____

Comments:

46. Is there a procedure designed to assess the academic progress and needs of individual students? Y____ N____ U____

a. If YES: Please describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT AFFAIRS

47. Is departmental effectiveness analyzed in terms of students with below-average, average, and above-average achievement? Y____ N____ U____

Comments:

48. Are there compensatory programs to deal with needs of entering students and under-achieving students? Y____ N____ U____

48.1 Are they adequate and made broadly available? Y____ N____ U____

48.2 Are they evaluated in terms of effectiveness? Y____ N____ U____

48.3 Are steps taken to improve effectiveness? Y____ N____ U____

Comments:

a. Who is responsible for creating and implementing compensatory programs?

49. Is there a procedure whereby special student achievement is recognized and rewarded? Y____ N____ U____

a. If YES: Describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT AFFAIRS

50. Is there a procedure designed to evaluate the effectiveness of the handling of all student academic concerns? Y____ N____ U____

a. If YES: Describe procedure.

REGISTRAR'S OFFICE

51. Are there adequate procedures for the following registrar functions?

51.1	Student Record Keeping	Y____ N____ U____
51.2	Scheduling and Sectioning	Y____ N____ U____
51.3	Registration	Y____ N____ U____
51.4	Reports and Transcript Production	Y____ N____ U____

52. Are there adequate computerization procedures? Y____ N____ U____

53. Is there satisfactory coordination between the Admission's and Registrar's functions? Y____ N____ U____

54. Is the design of the Academic Calendar satisfactory? Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

REGISTRAR'S OFFICE

55.	Is there a procedure designed to provide for continual improvement in Organization: Governance and Management?	Y____ N____ U____
a.	If YES: Please describe.	

D. RESOURCES

56.	Is there a procedure for organizing and allocating resources (space, equipment, people, money, etc.)?	Y____ N____ U____
a.	If YES: Describe procedure.	
	Is it implemented in terms of established priorities?	Y____ N____ U____
57.	Have resource requirements been analyzed for each department and academic program?	Y____ N____ U____
58.	Has an analysis been made of usage of audio-visual equipment and techniques?	Y____ N____ U____
59.	Has an analysis been made of library usage by departments and students?	Y____ N____ U____
60.	Has an analysis been made of projected and actual library holdings, acquisition patterns and costs?	Y____ N____ U____

D. RESOURCES

61. Does the school have access to resources outside of the institution? Y____ N____ U____

a. If YES: Please specify.

62. In which resource area(s) is a shortage most critical?

63. Is there a procedure designed to provide for continual improvement in Resource Management? Y____ N____ U____

a. If YES: Please describe.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

64. Is there a procedure for generating and coordinating communication within the Academic Affairs component? Y____ N____ U____

a. If YES: Please describe procedure.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

65. Is there a procedure for generating and coordinating communication within the Academic Affairs component? Y____ N____ U____

a. If YES: Describe procedure.

66. What forms of communication automatically flow to persons directly involved in the Academic Affairs operation?

Subject Area	Form or Title	Recipient	How Often

67. Is there a procedure designed to ensure adequate communication between the Academic Affairs administration, faculty and students? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION (CONT'D)

68.	Is there a procedure designed to generate and coordinate communication between students and faculty? Y____ N____ U____
a.	If YES: Describe procedure.
	EXTERNAL COMMUNICATION
69.	Is there a procedure designed to generate and coordinate communication between Academic Affairs and other institutional components, and where applicable, the external community? Y____ N____ U____
a.	If YES: Describe procedure.
70.	Is there a procedure designed to provide for continual improvement in Information Out-Flow: Internal and External? Y____ N____ U____
a.	If YES: Please describe procedure.

F. FEEDBACK

71.	Is there a reporting procedure designed which gives decision makers the necessary data for making decisions?	Y____ N____ U____
a.	If YES: Describe procedure.	
b.	If NO: Is one planned?	Y____ N____ U____
72.	Does the reporting of feedback give the decision makers of Academic Affairs an accurate picture of what is really happening?	Y____ N____ U____
73.	Is there a procedure for evaluating the performance of the Academic Affairs component in:	
a.	Realizing its objectives?	Y____ N____ U____
	Describe Procedure.	
b.	Carrying out of staff responsibilities?	Y____ N____ U____
	Describe procedure.	
74.	Is there a procedure designed to provide for continual improvement in Feedback?	Y____ N____ U____
a.	If YES: Describe procedure.	

G. CONCLUSION

75. In terms of overall management, what would you say are the greatest strengths within the component?

76. What kinds of problems or activities take up most of your time?

Is this a problem area?

77. Repeat question number 4, page 2.

78. What steps should the institution take towards solving any of these problems?

G. CONCLUSION (CONT'D)

79.	In general, what would you say are the management needs of the future at this institution?
80.	Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 8

DEAN OF STUDENT SERVICES
QUESTIONAIRE

MANAGEMENT SYSTEMS INVENTORY

DEAN OF STUDENT SERVICES

Interviewee _____ Title _____ Since ___/___/___

Interviewer _____ Recorder _____ Date ___/___/___

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1. Describe the goals and objectives of the Student Services component.

   How successful has this component been in realizing these goals and objectives?

2. In what ways do the objectives of Student Services relate to the larger perspective of institutional objectives?

3. What makes this Student Services component unique compared to such components in other institutions?

A. GENERAL INFORMATION (CONT'D)

4. In terms of overall management, what would you say are the 5 most crucial problems of the Student Services operation?

BEGINNING OF INTERVIEW

4.1
4.2
4.3
4.4
4.5

END OF INTERVIEW

4.11
4.22
4.33
4.44
4.55

B. STUDENT SERVICES PLANNING

5. Does the Student Services component have a specific long-range plan? YES (Y)_____ NO (N)_____ UNSURE (U)_____

a. If YES: Please describe.

Is there a procedure for reviewing and revising the plan? Y_____ N_____ U_____

Describe.

Do these procedures involve faculty and student participation in the planning process? Y_____ N_____ U_____

Are there any special conditions which have recently affected the implementation of the plan? Explain. Y_____ N_____ U_____

b. If NO: Is one planned? Y_____ N_____ U_____

6. What is the institutional policy concerning in loco parentis and parietal rules?

7. Is there a procedure designed for continual improvement in institutional planning? Y_____ N_____ U_____

Please describe.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

8.	Is there an organization chart for this component?	Y____ N____ U____
9.	Are written job descriptions required for:	
9.1	Administrative Personnel (major officers)?	Y____ N____ U____
9.2	Supportive Personnel (clerical, secretarial)?	Y____ N____ U____
9.3	Counseling Staff?	Y____ N____ U____
10.	Do job descriptions define extent of delegated authority and coordination between jobs?	Y____ N____ U____
11.	Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary?	Y____ N____ U____
12.	Is there a procedure for training subordinates for executive advancement and organizational continuity?	Y____ N____ U____
a.	If YES: Describe procedure.	
13.	Is personnel turnover in this component a problem?	Y____ N____ U____
	Comments:	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

14. Is there a procedure designed to generate and coordinate faculty and student participation in the governance of this component? Y____ N____ U____

a. If YES: Describe procedure.

15. Is there a procedure designed to generate and coordinate faculty and student participation in the management of this component? Y____ N____ U____

a. If YES: Describe procedure.

16. Before final decisions are made concerning the affairs of this component, is the advice of student and faculty representatives sought? Y____ N____ U____

Comments:

17. Are there procedures for:

17.1	Recruitment and selection of personnel?	Y____ N____ U____
17.2	Orientation of new personnel in objectives and procedures?	Y____ N____ U____
17.3	Training of personnel?	Y____ N____ U____
17.4	Appraisal of personnel performance?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

17. (Continued)

a. Who is responsible for these functions?

b. Are such procedures written?

18. What is the procedure for appointment of administrative officers for this component?

19. Is there a specific procedure designed to develop cooperative working relationships among management and support staff? Y____ N____ U____

a. If YES: Describe procedure.

20. Has a specific procedure been designed to coordinate the efforts of the Student Services component with those of other institutional components? Y____ N____ U____

a. If YES: Describe procedure.

21. How would you characterize the prevailing approach to management within this component (democratic, autocratic, laissez-faire, team approach, etc.)? Why is it this way?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT SERVICES PROGRAMS

22. Is there a procedure for the planning and implementation of Student Services programs? Y____ N____ U____

a. If YES: Describe procedure.

23. Have a set of objectives been developed for student services programs? Y____ N____ U____

a. If YES: Please describe.

24. What are the criteria upon which the creation of new programs is based?

25. Have programs been developed to deal adequately with the general well-being of students in the following areas:

25.1	Counseling		
	25.11	Personal	Y____ N____ U____
	25.12	Vocational	Y____ N____ U____
	25.13	Educational	Y____ N____ U____
	25.14	Financial	Y____ N____ U____
	25.15	Religious	Y____ N____ U____

ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT SERVICES PROGRAMS

25. (Continued)

25.2	Testing Services	Y_____	N_____	U_____
25.3	Foreign Student and Minority Students	Y_____	N_____	U_____
25.4	Off-Campus Students	Y_____	N_____	U_____
25.5	Food Services	Y_____	N_____	U_____
25.6	Health Services	Y_____	N_____	U_____
25.7	Placement Services	Y_____	N_____	U_____

26. Have programs been developed to deal adequately with student records and control in the areas of:

26.1	Recruitment	Y_____	N_____	U_____
26.2	Admissions	Y_____	N_____	U_____
26.3	Record Keeping	Y_____	N_____	U_____
26.4	Student Life Research	Y_____	N_____	U_____
26.5	Housing	Y_____	N_____	U_____
26.6	Discipline	Y_____	N_____	U_____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT SERVICES PROGRAMS

27. Have programs been developed to deal adequately with co-curricular and extra-curricular student activities in the areas of:

27.1	College Unions/Centers	Y____ N____ U____	(Budgeted Amount-	____)
27.2	Athletics	Y____ N____ U____	(Budgeted Amount-	____)
27.3	Social and Cultural Activities	Y____ N____ U____	(Budgeted Amount-	____)
27.4	Student Government	Y____ N____ U____	(Budgeted Amount-	____)
27.5	Community Relations	Y____ N____ U____	(Budgeted Amount-	____)

28. Have programs been developed to deal adequately with student financial needs through:

28.1	Federal and State Government aid	Y____ N____ U____
28.2	Student part-time and summer employment	Y____ N____ U____
28.3	Loan Programs	Y____ N____ U____
28.4	Scholarships and Stipends	Y____ N____ U____

29. Have programs been developed to deal adequately with special academic needs of students in these areas:

29.1	Compensatory work	Y____ N____ U____
29.2	Off-Campus Learning Situations	Y____ N____ U____
29.3	Foreign Students	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

STUDENT SERVICES PROGRAMS

30. Is there a special procedure designed to uncover student-related problems? Y____ N____ U____

a. If YES: Describe procedure.

31. Is there a procedure designed to find out where students actually go to solve problems on a formal and informal basis? Y____ N____ U____

a. If YES: Describe procedure.

32. Is there a procedure designed for periodic evaluation of program effectiveness? Y____ N____ U____

a. If YES: Describe procedure.

b. If NO: Is one planned?

33. Is there a procedure designed to provide for continual improvement in Organization: Governance and Management? Y____ N____ U____

a. If YES: Please describe.

D. RESOURCES

34. Is there a procedure for organizing and allocating resources? (space, equipment, people, money, etc.) Y____ N____ U____

a. If YES: Describe procedure.

35. Is it implemented in terms of established priorities? Y____ N____ U____

36. In which resource area(s) is a shortage most critical?

37. Is there a procedure designed to provide for continual improvement in Resource Management? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

38. Is there a procedure for generating and coordinating communication within the Student Services component? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION (CONT'D)

39. What forms of communication automatically flow to persons directly involved in the Student Services operation?

Subject Area	Title or Form	Recipient	How Often

40. Is there a procedure designed to ensure adequate communication between Student Services administration and faculty and students? Y____ N____ U____

a. If YES: Describe procedure.

41. Are services known to the entire student community? Y____ N____ U____

Comments:

42. Are they made easily accessible to potential users? Y____ N____ U____

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION

43. Is there a procedure designed to generate and coordinate communication between the Student Services component and other institutional components, and where applicable, the external community? Y____ N____ U____

a. If YES: Describe procedure.

SPECIAL DATA

44. Has an analysis of student characteristics been conducted including data on:

44.1	Those who apply?	Y____ N____ U____
44.2	Those who enroll?	Y____ N____ U____
44.3	Those who are on schedule?	Y____ N____ U____
44.4	Those who are behind schedule?	Y____ N____ U____
44.5	Those who are ahead of schedule?	Y____ N____ U____
44.6	Demographic features?	Y____ N____ U____
44.7	Learning Skills?	Y____ N____ U____
44.8	Course Loads?	Y____ N____ U____
44.9	Grade Averages?	Y____ N____ U____
44.10	Income and number of dependent children?	Y____ N____ U____
44.11	Number of students with financial need?	Y____ N____ U____
44.12	Other?	Y____ N____ U____

E. INFORMATION OUT-FLOW: SPECIAL DATA

45.	Are data available on placement of students who have graduated?	Y____ N____ U____
46.	Are data available on repayment of loans by students who have graduated or dropped out?	Y____ N____ U____
47.	Has the present and projected employment market been identified for students and graduates?	Y____ N____ U____
48.	In what other student-related areas do you collect special data?	
49.	Is there a procedure designed to provide for continual improvement in Information Out-Flow: Internal and External? Please describe.	Y____ N____ U____

F. FEEDBACK

50.	Is there a reporting procedure designed which gives decision makers in this component the necessary data for making decisions?	Y____ N____ U____
a.	If YES: Please describe procedure.	

F. FEEDBACK (CONT'D)

51. Does the amount, extent and reporting of feedback give the decision-makers of this component an accurate picture of what is actually happening? Y____ N____ U____

52. Is there a procedure for evaluating the performance of the Student Services component in:

a. Realizing its objectives? Y____ N____ U____

Describe procedure.

b. Carrying out of staff responsibilities? Y____ N____ U____

Describe procedure.

53. Is there a procedure designed to provide for continual improvement in Feedback? Y____ N____ U____

Please describe.

G. CONCLUSION

54. In terms of overall management, what would you say are the greatest strengths within the component?

_____

_____

_____

G. CONCLUSION (CONT'D)

55.	What kinds of problems or activities take up most of your time? Is this a problem area?
56.	Repeat question 4, page 2.
57.	What steps should the institution take towards solving any of these problems?
58.	In general, what would you say are the management needs of the future at this institution?

G. CONCLUSION (CONT'D)

59. Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 9

STUDENT PERSPECTIVE
QUESTIONAIRE

PHELPS-STOKES FUND

Document 9

MANAGEMENT SYSTEMS INVENTORY

STUDENT PERSPECTIVE

Interviewee _____ Title _____ Since ___/___/___

Interviewer _____ Recorder _____ Date ___/___/___

Institution _____ Length of Interview _____

I. STUDENT OVERVIEW

A. GENERAL INFORMATION

1. What attracts students to this institution?

2. What types of motivation exist for student achievement?

3. Do you feel that most students, after graduation, will become active alumni? Y_____ N_____ U_____

If NO: Why not?

B. ACADEMIC AFFAIRS

4. How are standards of student achievement defined?

5. Is the grading procedure satisfactory? Y____ N____ U____

Comments:

6. Is there a procedure designed to assess the academic progress and needs of individual students? Y____ N____ U____

a. If YES: Describe procedure.

7. Is departmental effectiveness analyzed in terms of students with below-average, average, and above average achievement? Y____ N____ U____

Comments:

8. Who is responsible for creating and implementing compensatory programs?

B. ACADEMIC AFFAIRS (CONT'D)

9. Is there a procedure whereby special student achievement is recognized and rewarded? Y_____ N_____ U_____

a. If YES: Describe.

10. Is there a procedure designed to evaluate the effectiveness of the handling of all student academic concerns? Y_____ N_____ U_____

a. If YES: Describe procedure.

11. Have programs been developed to deal adequately with special academic needs of students in these areas?

11.1	Compensatory work	Y_____ N_____ U_____
11.2	Off-Campus Learning Situations	Y_____ N_____ U_____
11.3	Foreign Students	Y_____ N_____ U_____
11.4	Drop-Outs (and potential drop-outs)	Y_____ N_____ U_____
11.5	Extended Matriculation (Students who require more than 4 years to attain degree)	Y_____ N_____ U_____
11.6	Veterans and Returning Older Students	Y_____ N_____ U_____

B. ACADEMIC AFFAIRS (CONT'D)

12. What academic services are available to students?

13. Are students aware of the various academic services? Y____ N____ U____

a. If YES: Do they take advantage of available services? Y____ N____ U____

b. If NO: How could this be remedied?

C. STUDENT SERVICES

14. Is there a procedure for student recruitment and selection? Y____ N____ U____

a. If YES: Describe procedure.

15. What are the criteria on which student selection is based?

C. STUDENT SERVICES (CONT'D)

16. Is there a procedure designed for orientation of new students? Y____ N____ U____

a. If YES: Describe procedure.

Do you feel orientation could be improved? How?

17. Is there a procedure for the planning and implementation of Student Services programs? Y____ N____ U____

a. If YES: Describe procedure.

18. Has a set of objectives been developed for student services programs? Y____ N____ U____

a. If YES: What are these objectives?

19. What are the criteria upon which the creation of new programs is based?

C. STUDENT SERVICES (CONT'D)

20. Have programs been developed to deal adequately with the general well-being of students in the following areas?

20.1	Counseling		
	20.11	Personal	Y____ N____ U____
	20.12	Vocational	Y____ N____ U____
	20.13	Educational	Y____ N____ U____
	20.14	Financial	Y____ N____ U____
	20.15	Religious	Y____ N____ U____

Comments:

20.2	Testing Services	Y____ N____ U____
20.3	Foreign Student and Minority Students	Y____ N____ U____
20.4	Off-Campus Students	Y____ N____ U____
20.5	Food Services	Y____ N____ U____
20.6	Health Services	Y____ N____ U____
20.7	Placement Services	Y____ N____ U____

Comments:

C. STUDENT SERVICES

21. Have programs been developed to deal adequately with student records and control in the areas of:

21.1	Recruitment?	Y____ N____ U____
21.2	Admissions?	Y____ N____ U____
21.3	Record Keeping?	Y____ N____ U____
21.4	Student Life Research?	Y____ N____ U____
21.5	Housing?	Y____ N____ U____
21.6	Discipline?	Y____ N____ U____

Comments:

22. Have programs been developed to deal adequately with co-curricular and extra-curricular student activities in the areas of:

22.1	College Unions/Centers?	Y____ N____ U____
22.2	Athletics?	Y____ N____ U____
22.3	Social and Cultural Activities?	Y____ N____ U____
22.4	Student Government?	Y____ N____ U____
22.5	Community Relations?	Y____ N____ U____

Comments:

C. STUDENT SERVICES (CONT'D)

23. Have programs been developed to deal adequately with student financial needs through:

23.1	Federal and State Government aid?	Y_____	N_____	U_____
23.2	Student part-time and summer employment?	Y_____	N_____	U_____
23.3	Loan Programs?	Y_____	N_____	U_____
23.4	Scholarships and Stipends?	Y_____	N_____	U_____

Comments:

24. Are there adequate procedures for the following registrar functions?

24.1	Student Record Keeping	Y_____	N_____	U_____
24.2	Scheduling and Sectioning	Y_____	N_____	U_____
24.3	Registration	Y_____	N_____	U_____
24.4	Reports and Transcript Production	Y_____	N_____	U_____

Comments:

25. Is the design of the Academic Calendar satisfactory? Y_____ N_____ U_____

Comments:

C. STUDENT SERVICES (CONT'D)

26. What is the institutional policy concerning in loco parentis and parietal rules?

27. Is there a special procedure designed to uncover student-related problems? Y____ N____ U____

a. If YES: Describe procedure.

28. Where do students actually go to solve personal and group related problems on a formal and informal basis?

29. What non-academic services are available to students?

Are students aware of the various non-academic services? Y____ N____ U____

a. If YES: Do they take advantage of these services?

C. STUDENT SERVICES (CONT'D)

30. Are student placement efforts adequate? Y____ N____ U____

Comments:

31. Are data available on placement of students who have graduated? Y____ N____ U____

32. Has the present and projected employment market been identified for students and graduates? Y____ N____ U____

Comments:

D. STUDENT LEADERSHIP

33. Please describe the goals and objectives of the Student Government Association:

a. How successful is the SGA in attaining these objectives?

D. STUDENT LEADERSHIP (CONT'D)

34. What would you say are the most crucial problems facing the SGA on this campus?

35. Does the SGA have a long-range plan? Y____ N____ U____

a. If YES: Please describe.

Is it written? Y____ N____ U____

b. If NO: Is one planned? Y____ N____ U____

36. In what areas are planning objectives being met?

37. Is there a procedure for orientation of new SGA officers? Y____ N____ U____

a. If YES: Please describe.

-MV2-

STUDENT LEADERSHIP (CONT'D)

38.	To what degree does the SGA participate in institutional governance and management?
a.	Is this a problem area?
39.	How frequently do the President of the institution and SGA officers meet?
a.	Is this satisfactory?
40.	How would you characterize student involvement in institutional governance and management?

II. INSTITUTIONAL MANAGEMENT AND GOVERNANCE

A. GENERAL INFORMATION

41. Describe the goals and objectives of the institution.

a. How successful has the institution been in achieving these goals?

42. In terms of overall management, what would you say are the 5 most crucial problems facing the institution?

42.1

42.2

42.3

42.4

42.5

B. INSTITUTIONAL PLANNING

43. Does the institution have a specific long-range plan? Y____ N____ U____

a. If YES: Describe plan.

C. ORGANIZATION

44. How would you characterize the prevailing approach to management within the institution (democratic, autocratic, laissez-faire, team approach, etc.)? Why is it this way?

D. RESOURCES

45. In which resource area(s) is a shortage most critical? (personnel, equipment, money, space, etc.)

E. COMMUNICATIONS: EXTERNAL

46. What comprises the Institution's external community?

47. What types of information flow between external community and student groups?

48. In what types of community activities do students participate?

Is this a problem area?

COMMUNICATIONS: INTERNAL

49. What types of information flow between:

49.1 Faculty and students? Y____ N____ U____

49.2 Administration and students? Y____ N____ U____

49.3 Trustees and students? Y____ N____ U____

a. Could this be improved? How?

G. CONCLUSION (CONT'D)

57.	In general, what are the management needs of the future at this institution?
58.	Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 10

BUSINESS MANAGER AND FISCAL AFFAIRS
QUESTIONAIRE

PHELPS-STOKES FUND

Document 10

MANAGEMENT SYSTEMS INVENTORY

BUSINESS MANAGEMENT AND FISCAL AFFAIRS

Interviewee _____ Title _____ Since ___/___/___

Interviewer _____ Recorder _____ Date ___/___/___

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1.	Describe the goals and objectives of the Business Management and Fiscal Affairs component. How successful has this component been in realizing these goals and objectives?
2.	In what ways do these objectives relate to the larger perspective of institutional objectives?

A. GENERAL INFORMATION (CONT'D)

3. In terms of overall management, what would you say are the 5 most crucial problems of the Business Management and Fiscal Affairs operation?

BEGINNING OF INTERVIEW

3.1	
3.2	
3.3	
3.4	
3.5	

END OF INTERVIEW

3.11	
3.22	
3.33	
3.44	
3.55	

B. BUSINESS MANAGEMENT AND FISCAL AFFAIRS PLANNING

4. Does the Business Management and Fiscal Affairs component have a specific long-range plan? YES (Y)___ NO (N)___ UNSURE (U)___

a) If YES: Please describe.

Is there a procedure for reviewing and revising the plan? Describe. Y___ N___ U___

Do these procedures involve faculty and student participation in the planning process? Y___ N___ U___

Are there any special conditions which have recently affected the implementation of the plan? Explain.

If NO: Is one planned? Y___ N___ U___

5. Is there a procedure designed for continual improvement in Business Management and Fiscal Affairs Planning? Y___ N___ U___

Please describe.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

	BUSINESS MANAGEMENT	
6.	Is there an organization chart for this component?	Y____ N____ U____
7.	Are written job descriptions required for:	
	7.1 Administrative Personnel (major officers)?	Y____ N____ U____
	7.2 Supportive Personnel (clerical, secretarial)?	Y____ N____ U____
8.	Do job descriptions define extent of delegated authority and coordination between jobs?	Y____ N____ U____
9.	Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary?	Y____ N____ U____
10.	Is there a procedure for training subordinates for executive advancement and organizational continuity?	Y____ N____ U____
a.	If YES: Describe procedure.	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

	BUSINESS MANAGEMENT	
11.	Is personnel turnover in this component a problem? Comments:	Y____ N____ U____
12.	Is there a procedure to involve faculty and students in the governance of this component?	Y____ N____ U____
a.	If YES: Describe procedure.	
13.	Is there a procedure to involve faculty and students in the management of this component?	Y____ N____ U____
a.	If YES: Describe procedure.	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

BUSINESS MANAGEMENT

14. Are there staffing procedures for:

14.1	Recruitment and selection of personnel?	Y____	N____	U____
14.2	Orientation of new personnel in objectives and procedures?	Y____	N____	U____
14.3	Training of personnel?	Y____	N____	U____
14.4	Appraisal of personnel performance?	Y____	N____	U____

a. Who is responsible for these functions?

b. Are such procedures written? Y____ N____ U____

15. What is the procedure for appointment of administrative officers for this component?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

16. Is there a specific procedure designed to develop cooperative working relationships among management and support staff? Y____ N____ U____

a) If YES: Describe procedure:

17. Has a specific procedure been designed to coordinate the efforts of the Business Management and Fiscal Affairs component with those of other institutional components? Y____ N____ U____

a) If YES: Describe procedure:

18. How would you characterize the prevailing approach to management within this component? (democratic, autocratic, laissez-faire, team approach, etc.)

Why is it this way?

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

BUSINESS MANAGEMENT

19. Are the procedures for and products of each function well-defined in the following areas:

19.1	Accounting and Budgeting Systems?	Y____ N____ U____
19.11	Financial Statements and Reports?	Y____ N____ U____
19.12	Accounting Manual?	Y____ N____ U____
19.13	Processing of Invoices?	Y____ N____ U____
19.14	Payroll Preparation and Audit?	Y____ N____ U____
19.15	Petty Cash Control?	Y____ N____ U____
19.16	Accounts Receivable Control & Aging Schedule?	Y____ N____ U____
19.17	Cash Receipts, Cash Disbursements, Cash-Flow and Management of Contractual Arrangements?	Y____ N____ U____
19.2	Personnel?	Y____ N____ U____
19.21	Personnel System?	Y____ N____ U____
19.22	Time and Attendance Records?	Y____ N____ U____
19.3	Space Utilization Model?	Y____ N____ U____
19.4	System of Procurement and Property Management?	Y____ N____ U____
19.5	Inventory Control?	Y____ N____ U____
19.6	Health and Safety Systems?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

BUSINESS MANAGEMENT

20. What management systems have been installed?

a. Has a program planning and budget system been used on this campus? Y____ N____ U____

Comments:

21. Is there a procedure for coordination of special and federally-funded programs? Y____ N____ U____

a. If YES: Dsecribe procedure.

22. Is the management of these programs satisfactory to:

22.1 Federal Government? Y____ N____ U____

22.2 State? Y____ N____ U____

22.3 Other Supporting Agencies? Y____ N____ U____

22.4 School itself? Y____ N____ U____

23. Are arrangements for legal counsel satisfactory? Y____ N____ U____

C. ORGANIZATION, GOVERNANCE AND MANAGEMENT

BUSINESS MANAGEMENT

24. What, if any, types of outside consulting or technical assistance are you now receiving?

FISCAL AFFAIRS

25. Are recent audits successively positive about financial management? Y____ N____ U____

a. Is an unqualified audit being secured by this institution? Y____ N____ U____

If NO: Please explain:

26. Do financial statements adequately represent the strengths and weaknesses of the institution? Y____ N____ U____

Comment:

27. Is there a procedure to ensure that corrective action is taken when needed? Y____ N____ U____

a. If YES: Describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

FISCAL AFFAIRS

28. What criteria are used in justifying budgets?

29. Is an analysis of the budget conducted to reveal:

29.1	Cost per full-time equivalent student?	Y____ N____ U____
29.2	Administrative vs. Instructional costs?	Y____ N____ U____
29.3	Cost of salaries vs. total cost in terms of budget impact, competition, etc.?	Y____ N____ U____
29.4	Object analysis by department?	Y____ N____ U____
29.5	Determination of fixed variable cost by object, and by department as it relates to economy of scale?	Y____ N____ U____
29.6	Space utilization in terms of comparison with national and similar institution standards, program needs, special requirements, etc.?	Y____ N____ U____
29.7	Tuition requirements in terms of national and similar institution standards and effect on enrollment, family standards of living, financing institution's programs?	Y____ N____ U____
29.8	Pert-type planning schedules for budget submission and allocation site planning, reports, etc.?	Y____ N____ U____
29.9	Cost projections over a five-year period by departments?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

30.	Are auxiliary services self-supporting?		Y____ N____ U____
	30.1	Dining Hall?	Y____ N____ U____
	30.2	Residence Halls?	Y____ N____ U____
	30.3	Book Store?	Y____ N____ U____
	30.4	Student Union?	Y____ N____ U____
31.	Are operations of shipping, receiving, etc. satisfactory?		Y____ N____ U____
32.	Are research and sponsored programs analyzed to ensure overhead costs?		Y____ N____ U____
33.	Is the institution adequately insured?		Y____ N____ U____
34.	What is the average percent of return on portfolios? (This applies only to private institutions)		
35.	Is there an institutional foundation established to collect funds?		Y____ N____ U____
36.	Is there a procedure designed to provide for continual improvement in Organization: Governance and Management?		Y____ N____ U____
a.	If YES: Please describe.		

D. RESOURCES

37. Is there a procedure for organizing and allocating resources? Y____ N____ U____

a. If YES: Describe procedure.

Is it implemented in terms of established priorities? Y____ N____ U____

38. In which resource area(s) is a shortage most critical?

39. Is there a procedure designed to provide for continual improvement in Resource Management? Y____ N____ U____

a. If YES: Please describe.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

40. Is there a procedure for generating and coordinating communication within the Business Management and Fiscal Affairs component? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION (CONT'D)

41. What forms of communication automatically flow to persons directly involved in Business Management and Fiscal Affairs operation?

Subject Area	Title or Form	Recipient	How Often?

EXTERNAL COMMUNICATION

42. Is there a procedure designed to generate and coordinate communication between the Business Management and Fiscal Affairs component and other institutional components? Y____ N____ U____

a. If YES: Describe procedure.

43. Is there a procedure designed to promote communication between Business Management and Fiscal Affairs administration and faculty and students? Y____ N____ U____

a. IF YES: Please describe procedure.

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION (CONT'D)

44. Is there a procedure designed to provide for continual improvement in Information Out-Flow: Internal and External? Y____ N____ U____

a. If YES: Describe procedure.

F. FEEDBACK

45. Is there a reporting procedure designed to give decision makers in this component the necessary data for making decisions? Y____ N____ U____

a. If YES: Describe procedure.

46. Does the amount, extent and reporting of feedback give the decision makers of this component an accurate picture of what is actually happening? Y____ N____ U____

Comments:

47. Is there a procedure for evaluating the performance of this component in:

a. Realizing its objectives? Y____ N____ U____
Describe procedure.

b. Carrying out of staff responsibilities? Y____ N____ U____
Describe procedure.

G. CONCLUSION

48.	In terms of overall management, what would you say are the greatest strengths of this component?
49.	What kinds of problems or activities take up most of your time? Is this a problem area?
50.	Repeat question 3, page 2.
51.	What steps should the institution take towards solving any of these problems?
52.	In general, what would you say are the management needs of the future at this institution?

G. CONCLUSION (CONT'D)

53. Additional Comments:

INTERVIEWEE'S OBSERVATIONS	INTERVIEWER'S OBSERVATIONS

DOCUMENT # 11

DEVELOPMENT AND INSTITUTIONAL RELATIONS
QUESTIONAIRE

PHELPS-STOKES FUND

Document 11

MANAGEMENT SYSTEMS INVENTORY

DEVELOPMENT AND INSTITUTIONAL RELATIONS

Interviewee _____ Title _____ Since __/__/__

Interviewer _____ Recorder _____ Date __/__/__

Institution _____ Length of Interview _____

A. GENERAL INFORMATION

1.	Describe the goals and objectives of the Development and Institutional Relations component. How successful has this component been in realizing these goals and objectives?
2.	In what ways do these objectives relate to the larger perspective of institutional objectives?

A. GENERAL INFORMATION (CONT'D)

3. In terms of overall management, what would you say are the 5 most crucial problems of the Development and Institutional Relations component?

BEGINNING OF INTERVIEW

3.1

3.2

3.3

3.4

3.5

END OF INTERVIEW

3.11

3.22

3.33

3.44

3.55

B. DEVELOPMENT AND INSTITUTIONAL RELATIONS PLANNING

4. Does the development and Institutional Relations component have a specific, long-range plan? YES (Y)____ NO (N)____ UNSURE (U)____

a. If YES: Give a general description of the plan.

Is there a procedure for reviewing and revising the plan? Y____ N____ U____

Describe procedure.

Do these procedures involve faculty and student participation in the planning process? Y____ N____ U____

Describe how they are represented.

Is there a special condition which has recently required the modification of the plan? Explain. Y____ N____ U____

b. If NO: Is one planned? Y____ N____ U____

5. Is there a procedure designed for continual improvement in Development and Institutional Relations Planning? Y____ N____ U____

Please describe.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT

6.	Is there an organization chart for this component?	Y____ N____ U____
7.	Are written job descriptions required for:	
	7.1 Administrative personnel (major officers)?	Y____ N____ U____
	7.2 Supportive personnel (clerical, secretarial)?	Y____ N____ U____
8.	Do job descriptions define extent of delegated authority and coordination between jobs?	Y____ N____ U____
9.	Has delegated authority been clearly assigned for continuation of operations by subordinates when necessary?	Y____ N____ U____
10.	Is there a procedure for training subordinates for executive advancement and organizational continuity?	Y____ N____ U____
a.	If YES: Describe procedure.	
11.	Is personnel turnover in this component a problem?	Y____ N____ U____
	Comments:	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

12. Is there a procedure to involve faculty and students in the governance of this component? Y____ N____ U____

a. If YES: Please describe procedure.

13. Is there a procedure to involve faculty and students in the management of this component? Y____ N____ U____

a. If YES: Please describe procedure.

14. Before final decisions are made concerning the affairs of this component, is the advice of student and faculty representatives sought? Y____ N____ U____

15. Are there staffing procedures for:

15.1 Recruitment and selection of personnel? Y____ N____ U____

15.2 Orientation of new personnel in objectives and procedures? Y____ N____ U____

15.3 Training of personnel? Y____ N____ U____

15.4 Appraisal of personnel performance? Y____ N____ U____

a. Who is responsible for these functions?

b. Are such procedures written? Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

16. What is the procedure for appointment of administrative officers for this component?

17. Is there a specific procedure designed to develop cooperative working relationships among management and support staff? Y____ N____ U____

a. If YES: Describe procedure.

18. Has a speciric procedure been designed to coordinate the efforts of the Development and Institutional Relations component with those of other institutional components? Y____ N____ U____

a. If YES: Describe procedure.

19. How would you characterize the prevailing approach to management within this component? (democratic, autocratic, laissez-faire, team approach, etc.) Why is it this way?

ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

PROGRAMS

20. Is there a procedure designed for the planning and implementation of development and institutional relations programs? Y____ N____ U____

a. If YES: Describe procedure.

b. If NO: Is one planned? Y____ N____ U____

21. Have adequate programs been developed for the following constituencies?

21.1	Community Relations? Does it include:	Y____ N____ U____	
21.11	Outline of Purpose?	Y____ N____ U____	
21.12	Methods of Communication?	Y____ N____ U____	
21.13	Programs and Events?	Y____ N____ U____	
21.2	Alumni Relations? Does it include:	Y____ N____ U____	
21.21	Outline of Purpose?	Y____ N____ U____	
21.22	Methods of Communication?	Y____ N____ U____	
21.23	Programs and Events?	Y____ N____ U____	
21.3	Trustee Relations?	Y____ N____ U____	
21.4	Other? (Specify)	Y____ N____ U____	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

PROGRAMS

22. Have fund-raising plans and programs been developed in the following areas:

22.1	Alumni Annual Giving?	Y____ N____ U____	(% of total support: ___%)
22.2	Community Annual Giving?	Y____ N____ U____	(% of total support: ___%)
22.3	Corporate Support?	Y____ N____ U____	(% of total support: ___%)
22.4	Foundation Support?	Y____ N____ U____	(% of total support: ___%)
22.5	State Support?	Y____ N____ U____	(% of total support: ___%)
22.6	Federal Support?	Y____ N____ U____	(% of total support: ___%)

23. From what Federal programs, if any, are you now receiving support?

24. What, if any, kinds of outside technical assistance are you now receiving?

25. Do fund-raising plans include:

25.1	Strategy?	Y____ N____ U____
25.2	Timetable?	Y____ N____ U____
25.3	Realistic Goals?	Y____ N____ U____
25.4	Potential Sources of Support?	Y____ N____ U____

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

PROGRAMS

26. Has the institution's case statement been developed? Y____ N____ U____

a. If YES: Summarize what is included in the case statement.

b. If NO: is one planned? Y____ N____ U____

27: Has an impact study been made of the institution's economic effect on the community? Y____ N____ U____

Comments:

28. Is there a procedure for evaluating program effectiveness? Y____ N____ U____

a. If YES: Describe procedure.

SUPPORTIVE PROCEDURES

29. Is there a plan for constituency research? Y____ N____ U____

a. If YES: Is there a procedure implementing constituency research plans? Y____ N____ U____
Describe procedure.

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

SUPPORTIVE PROCEDURES

30.	Have the following been implemented for record files:	
	30.1 Master Information Card?	Y____ N____ U____
	30.2 Gift History?	Y____ N____ U____
	30.3 Biographical File Folder?	Y____ N____ U____
31.	Is there a procedure for processing and acknowledging gifts and grants?	Y____ N____ U____
a.	If YES: Describe procedure.	
32.	Is gift receiving centralized in the development office?	Y____ N____ U____
33.	Have reporting procedures been developed to disseminate information on:	
	33.1 Progress of programs?	Y____ N____ U____
	33.2 Amount and kind of support received?	Y____ N____ U____
34.	Is there a procedure designed to evaluate effectiveness of supportive procedures?	Y____ N____ U____
a.	If YES: Describe procedure.	

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

SUPPORTIVE PROCEDURES

35. Is there a procedure designed to provide for continual improvement in Organization: Governance and Management? Y____ N____ U____

a. If YES: Please describe.

D. RESOURCES

36. Is there a procedure for organizing and allocating resources? Y____ N____ U____

a. If YES: Describe procedure.

Is it implemented in terms of established priorities? Y____ N____ U____

37. In which resource area(s) is a shortage most critical?

38. Is there a procedure designed to provide for continual improvement in Resource Management? Y____ N____ U____

a. If YES: Please describe.

E. INFORMATION OUT-FLOW: INTERNAL COMMUNICATION

39. Is there a procedure for generating and coordinating communication within the Development and Institutional Relations component? Y____ N____ U____

a. If YES: Describe procedure.

40. What forms of communication automatically flow to persons directly involved in the Development and Institutional Relations operation?

Subject Area	Form or Title	Recipient	How often

EXTERNAL COMMUNICATION

41. Is there a procedure designed to ensure adequate communications between the Development and Institutional Relations component and other institutional components? Y____ N____ U____

a. If YES: Describe procedure.

E. INFORMATION OUT-FLOW: EXTERNAL COMMUNICATION (CONT'D)

42. Is there a procedure designed to promote communication between Development and Institutional Relations administration and faculty and students? Y____ N____ U____

a. If YES: Describe procedure.

43. Is there a procedure designed to provide for continual improvement in Information Out-Flow: Internal and External? Y____ N____ U____

Please describe.

F. FEEDBACK

44. Is there a reporting procedure designed which gives decision-makers in this component the necessary data for making decisions? Y____ N____ U____

a. If YES: Please describe procedure.

45. Does the amount, extent and reporting of feedback give the decision-makers of this component an accurate picture of what is actually happening? Y____ N____ U____

Comments.

F. FEEDBACK (CONT'D)

46. Is there a procedure for evaluating the performance of this component in:

a. Realizing its objectives? Y____ N____ U____

Describe procedure.

b. Carrying out of staff responsibilities? Y____ N____ U____

Describe procedure.

47. Is there a procedure designed to provide for continual improvement in Feedback? Y____ N____ U____

Please describe.

G. CONCLUSION

48. In terms of overall management, what would you say are the greatest strengths of this component?

G. CONCLUSION (CONT'D)

49.	What kinds of problems or activities take up most of your time? Is this a problem area?
50.	Repeat question number 3, page 2.
51.	What steps should the institution take towards solving any of these problems?
52.	In general, what would you say are the management needs of the future at this institution?
53.	Additional Comments:

Interviewee's Observations	Interviewer's Observations

DOCUMENT # 12

INSTITUTIONAL SUMMARY REPORT

PHELPS-STOKES FUND

Document 12

MANAGEMENT SYSTEMS INVENTORY

INSTITUTIONAL SUMMARY REPORT

Institution _____ City _____ State _____

Team Members _____ Date ___/___/___

N. B. In reporting, develop collective answers from data provided by all interviewees.

A. GENERAL INFORMATION

1. We were able to interview: PRESIDENT_____ TRUSTEE_____ CRITIC_____ SUPPORTER_____ ACADEMIC DEAN*_____ FACULTY REP._____ STUDENT REP._____ DEAN OF STUDENTS*_____ BUSINESS MANAGER*_____ DEVELOPMENT OFFICER*_____

2. Summarize the present institutional goals and objectives. (List)

_____ _____

_____ _____

_____ _____

_____ _____

3. Summarize the most crucial problems facing the institution. (list)

_____ _____

_____ _____

_____ _____

_____ _____

*Or equivalent chief officer of this component

GENERAL INFORMATION (CONT'D)

4. Summarize greatest management strengths of the institution. (List)

5. Summarize statements concerning the future management needs of the institution.

6. List forms of Management Technical Assistance which institution needs most.

A. GENERAL INFORMATION (CONT'D)

7.	Explain opportunities for providing immediate Technical Assistance to school.
8.	Describe any resources available at this institution which might be shared with other schools.
9.	Is the institution presently receiving any outside technical assistance?
10.	Which components are particularly strong? weak?

A. GENERAL INFORMATION (CONT'D)

11. List names of respondants who were specially receptive to Management Systems operations.

12. In your opinion, would the coordinator be useful for future contacts between the Management Development Consortium and the institution?

B. PLANNING

13. Does the institution have a specific, long-range plan? YES (Y)____ NO (N)____ UNSURE (U)____

13.1 Is it written? Y____ N____ U____

13.2 If so, how long a period does it cover?

Comments:

14. Does the institution have an organization-wide planning and budgeting system in operation? Y____ N____ U____

14.1 Does it include systematic and periodic up-dating of each element? Y____ N____ U____

14.2 If so, describe in general.

Comments:

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

18. Are written job descriptions available for:

18.1	Administrative Officers?	Y____	N____	U____
18.2	Support Services Personnel?	Y____	N____	U____
18.3	Academic Personnel (Dept. Chairman and Faculty)?	Y____	N____	U____
18.4	Counselors?	Y____	N____	U____
18.5	Clerical and Secretarial Personnel?	Y____	N____	U____

Comments:

19. Do job descriptions specify extent of delegated authority? Y____ N____ U____

Comments:

20. Has line of authority been clearly defined for continuation of operations by subordinates when necessary? Y____ N____ U____

Comments:

21. Is there an operating policy and procedure for training subordinates for executive advancement? Y____ N____ U____

Comments:

C. ORGANIZATION: GOVERNANCE AND MANAGEMENT (CONT'D)

22. Is there an organizational mechanism or system to ensure faculty and student participation in the planning, governance, and management of:

22.1	Overall institutional operations?	Y____ N____ U____
22.2	Academic Affairs?	Y____ N____ U____
22.3	Student Services?	Y____ N____ U____
22.4	Business Management?	Y____ N____ U____
22.5	Development and Institutional Relations?	Y____ N____ U____

Comments:

23. Are students really active in these areas? Y____ N____ U____

Comments:

24. Describe the prevailing institutional approach to management.

25. What problems (if any) does this approach produce?

D. RESOURCES

26. Summarize areas in which there is the most critical shortage of resources. (List)

_____ _____

_____ _____

_____ _____

_____ _____

E. COMMUNICATIONS

27. Is there a significant problem in the flow of information and understanding of objectives in the following areas:

27.1	Among students?	Y____	N____	U____
27.2	Among faculty?	Y____	N____	U____
27.3	Among administrators?	Y____	N____	U____
27.4	Student -- Faculty?	Y____	N____	U____
27.5	Student -- Administration?	Y____	N____	U____
27.6	Faculty -- Administration?	Y____	N____	U____
27.7	Between institutional components?	Y____	N____	U____
27.8	Vertically up the hierarchy?	Y____	N____	U____
27.9	Vertically down the hierarchy?	Y____	N____	U____

Comments:

E. COMMUNICATIONS (CONT'D)

28. Are the impediments to information flow related to:

28.1	Personalities?	Y____	N____	U____
28.2	Lack of Media?	Y____	N____	U____
28.3	Lack of Channels?	Y____	N____	U____
28.4	Other?	Y____	N____	U____

Comments:

29. Describe the institution's external community.

30. Does the institution communicate adequately with:

30.1	Alumni?	Y____	N____	U____
30.2	Local Community?	Y____	N____	U____
30.3	Known Supporters?	Y____	N____	U____
30.4	Potential Supporters?	Y____	N____	U____

Comments:

F. SYSTEMS MANAGEMENT

31. Are there operating systems which adequately provide for continual improvement in:

31.1	Planning?	Y_____	N_____	U_____
31.2	Organization: Governance and Management?	Y_____	N_____	U_____
31.3	Resource Management? (Including budgeting and appropriations)	Y_____	N_____	U_____
31.4	Internal Information Flow?	Y_____	N_____	U_____
31.5	External Information Flow?	Y_____	N_____	U_____
31.6	Reporting Systems?	Y_____	N_____	U_____

Comments:

G. SUGGESTED TECHNICAL ASSISTANCE

32. Does your analysis indicate that Management Technical Assistance would be of value to the institution in the following areas:

32.1	Recruitment and selection of personnel?	Y_____	N_____	U_____
32.2	Orienting new employees in objectives and procedures?	Y_____	N_____	U_____
32.3	On-the-job training of personnel?	Y_____	N_____	U_____
32.4	On-going systems of support and motivation of employees?	Y_____	N_____	U_____
32.5	Preparing a personnel policy manual?	Y_____	N_____	U_____
32.6	Preparing a procedure manual?	Y_____	N_____	U_____

G. SUGGESTED TECHNICAL ASSISTANCE (CONT'D)

32. (Continued)

32.7	Student recruitment?	Y_____	N_____	U_____
32.8	Admissions procedures?	Y_____	N_____	U_____
32.9	Registrar's functions?	Y_____	N_____	U_____
32.10	Budgeting system?	Y_____	N_____	U_____
32.11	Business systems?	Y_____	N_____	U_____
32.12	Resource management?	Y_____	N_____	U_____
32.13	Development functions?	Y_____	N_____	U_____
32.14	Communications System?	Y_____	N_____	U_____
32.15	Public Relations?	Y_____	N_____	U_____
32.16	Cost Reduction Analysis?	Y_____	N_____	U_____

Comments:

H. ADDITIONAL COMMENTS AND PERSONAL OBSERVATIONS